

# VOLUME I

## GENERAL CRITERIA

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## 1 Transmittal letter

Attention: Rachel Taylor  
Early Train Operator Procurement Manager  
**California High-Speed Rail Authority**  
Address: 770 L Street, Suite 620 MS 1  
Sacramento, CA 95814

August 30, 2017

### Transmittal letter

Dear Ms. Taylor,

The undersigned Proposer submits this Proposal in compliance with conditions and requirements set by the Request for Proposal RFP 16-13, dated June 16<sup>th</sup>, 2016 (the "RFP"), issued by the California High-Speed Rail Authority (Authority) for the Early Train Operator (Operator) of the California High-Speed Rail (CHSR) System.

Enclosed, and by this reference incorporated herein and made a part of this Proposal, are the following:

Volume 1: Transmittal Letter, (Attachement A: Proposer's Key Personnel signed statements; Attachement B: Resume of the new expert for the position of Lead Operating Manager, Key Personnel; Attachement C: Certificate of Qualification, Form A: Schedule of Subcontractor(s)/Subconsultants, Form B: Organizational Conflict of Interests Disclosure Statement, Form C: Disabled Veteran Business Enterprise Declaration, Cert. 1: CCC-307 and STD 204, Cert. 2: Proposer's Overall Project Small Business Goal Commitment Affidavit, Cert. 3: Iran Contracting Certification, Cert. 4: Darfur Contracting Act Certification, Cert. 5: Major Participant Certification Regarding Disbarment, Suspension, Ineligibility, and Voluntary Exclusion Certification, Cert. 6: Subcontractor Certification Regarding Disbarment, Suspension, Ineligibility, and Voluntary Exclusion Certification, Cert. 7: Non-Collusion Affidavit, Cert. 8: Equal Employment Opportunity Certification, Cert. 9: Non-Discrimination Certification, Cert. 10: Certification Regarding Lobbying, Cert. 11: California Civil Rights Laws Certification, No Material Change Certifications.

Volume 2: Executive Summary, Approach and Methodology, Small Business Utilization Plan, Cost Proposal Work Sheet, Cost Proposal Narrative.

The undersigned Proposer confirms that the submitted Proposal (this Proposal) is complete and accurate.

The undersigned Proposer represents and warrants that it is authorized to do business in the State of California and will acquire all other required valid and appropriate licensure to do business in the State of California by the time of execution of the Pre-Development Agreement. The Proposer's licenses are attached to this letter as Attachment C.

The undersigned Proposer identifies Mr. Carsten Puls as Proposer's Contract Manager assigned to manage any Agreement awarded pursuant to this RFP. Proposer's Contract Manager contact data is following:

E-mail address: [Carsten.Puls@deutschebahn.com](mailto:Carsten.Puls@deutschebahn.com)  
Mobile No.: +1415-758-8565

Resume of the nominated expert, Dr. Michael Häßler, for the position of the Lead Operating Manager, is attached as Attachment B to this letter.

The undersigned Proposer affirms that it has or is able to obtain the required insurance, specified in Attachment E: Sample Agreement, of this RFP.

The undersigned Proposer affirms that there has been no change from its previous certification in the SOQ, that it has not been terminated from another contract for default, or has not received a civil judgment or criminal conviction in the past five (5) years. If the Offeror does have a civil judgment(s) within the past five (5) that exceed in a single occurrence \$1,000,000 (one million dollars) or in the aggregate \$10,000,000 (ten million dollars), the Offeror may provide a listing of the judgments and explanation as to why the presence of these judgments would not, in the Proposer's opinion, reasonably be expected to hinder or prevent the prompt and full performance of the contract, if awarded.

All Proposer's Key Personnel have signed the statement stating understanding that the project office will be located in the Sacramento, California area and expressing willingness to work as required at the location as determined by the work schedule. Signed Key Personnel's statements are attached as Attachment A to this letter.



Carsten Puls

A handwritten signature in blue ink, appearing to be 'CP'.

President  
DB Engineering & Consulting USA Inc.

Name: Carsten Puls  
Title: President  
Firm/Company: DB Engineering & Consulting USA Inc.  
Address: 120 White Plains Road, Tarrytown,  
Telephone No.: +1415-758-8565  
E-mail Address: Carsten.Puls@deutschebahn.com

**Attachment A 1:            Proposer's Key Personnel signed statement**

August 30, 2017

**Statement of the Project Manager / Director**

Dear Ms. Taylor,

I, the official named below, hereby declare that I understand that the project office will be located in the Sacramento, California area and confirm my willingness to work as required at the location as determined by the work schedule.

A black rectangular box redacting the signature of the official.

---

Jorge M. Rios Fergusson

Project Manager / Director  
DB Engineering & Consulting USA Inc.

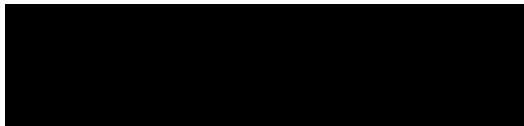
**Attachment A 2:            Proposer's Key Personnel signed statement**

August 30, 2017

**Statement of the Lead Procurement Advisor**

Dear Ms. Taylor,

I, the official named below, hereby declare that I understand that the project office will be located in the Sacramento, California area and confirm my willingness to work as required at the location as determined by the work schedule.



Joachim Mayer

Lead Procurement Advisor  
DB Engineering & Consulting USA Inc.

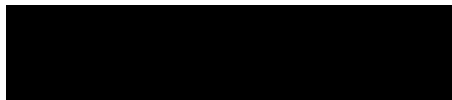
**Attachment A 3:            Proposer's Key Personnel signed statement**

August 30, 2017

**Statement of the Lead Commercial Advisor**

Dear Ms. Taylor,

I, the official named below, hereby declare that I understand that the project office will be located in the Sacramento, California area and confirm my willingness to work as required at the location as determined by the work schedule.



Mark Evans

Lead Commercial Advisor  
DB Engineering & Consulting USA Inc.



August 30, 2017

**Statement of the Lead Operating Manager**

Dear Ms. Taylor,

I, the official named below, hereby declare that I understand that the project office will be located in the Sacramento, California area and confirm my willingness to work as required at the location as determined by the work schedule.



Dr. Michael Häßler

Lead Operating Manager  
DB Engineering & Consulting USA Inc.

## MICHAEL HÄSSLER

| Düsseldorf, Germany

### PROFESSIONAL EXPERIENCE

<b>DB Netz AG, Region West, Head of Sales and Scheduling</b> (Duisburg) Director Operations and Scheduling, I.NM-W (Oversaw unit of 150 staff with 650 million EUR yearly turnover) <ul style="list-style-type: none"><li>▪ Provide routes and non-discriminatory track access to national and international train operators</li><li>▪ Oversee rail infrastructure development, capacity planning and scheduling (including high speed ICE trains to/from Hanover/Berlin, Frankfurt/Southern Germany, Amsterdam; Thalys trains from/to Brussels with high speed rail junctions in Cologne, Duisburg and Dortmund)</li><li>▪ Manage key accounts with ProRail (Netherlands) and InfraBel (Belgium)</li><li>▪ Coordinate political engineering and press relations</li></ul>	2012 – Present
<b>DB Netz AG, Region West, Head of Operations and Maintenance</b> (Hagen) Director Operations & Maintenance Hagen, I.NP-W-D-HA (Oversaw unit with 500 staff and 75 million EUR yearly turnover) <ul style="list-style-type: none"><li>▪ Oversaw operations and maintenance of railway infrastructure in the Southern/Eastern part of the Federal State of North Rhine Westphalia, including Dortmund high speed rail junction</li></ul>	2009 – 2012
<b>Siemens AG, Key Account Manager Rolling Stock</b> (Erlangen, Rome, Dubai) <ul style="list-style-type: none"><li>▪ Managed key accounts for metro and tramways in the Middle East and Turkey</li><li>▪ Served as Project Director for high speed train acquisition in Italy (ICE 3 / Velaro Italia) and designed project environment, including station redesign and track layout</li><li>▪ Coordinated political engineering, financing, pre-acquisition, negotiations with clients and bid activities</li><li>▪ Temporarily assigned to Siemens Financial Services as a Senior Financial Advisor for export credits in 2008-2009</li></ul>	2006 – 2009
<b>Siemens AG, Sales Manager Turnkey Systems</b> (Berlin, Istanbul) <ul style="list-style-type: none"><li>▪ Served as Sales Manager for integrated rail mass transit systems on a turnkey basis</li><li>▪ Worked in key sales markets: Turkey, South Africa, Algeria</li><li>▪ Ran pre-acquisition, negotiations with clients and coordination of bid activities</li></ul>	2002 – 2005
<b>DB Station &amp; Service AG, Manager Strategy</b> (Frankfurt/Main) <ul style="list-style-type: none"><li>▪ Managed Corporate Strategy: Reorganization of the Railway Stations Division</li><li>▪ Introduced “Strategic Management Process” to DB Station &amp; Service AG</li></ul>	2000 – 2002

<b>DB Station &amp; Service AG, Project Manager</b> (Hanover)	1998 – 2000
<ul style="list-style-type: none"> <li>Served as Project Manager for the construction and maintenance of railway stations in the context of the EXPO 2000 world exhibition in Hanover</li> </ul>	

## OTHER PROFESSIONAL ACTIVITIES

<b>German Agency for Technical Cooperation (GTZ)</b> (Hanoi)	2002
<ul style="list-style-type: none"> <li>Provided freelance consulting in Vietnam</li> <li>Developed a business strategy for Vietnam Railways</li> </ul>	

<b>European Parliament</b> (Strasbourg)	1992 – 1994 (part-time during Strasbourg parliamentary session weeks)
<ul style="list-style-type: none"> <li>Assisted the Vice President of the European Parliament, Ursula Schleicher MEP, on a part-time basis</li> <li>Prepared political papers, contacts to media and interest groups</li> <li>Focused on the environment, public health, consumer protection</li> </ul>	

## ACADEMIC EXPERIENCE AND EDUCATION

<b>University Professor</b> (University of Wuppertal)	since 2014 (part time)
<ul style="list-style-type: none"> <li>Full professorship (W3)</li> <li>Lectures, seminars and research projects in rail systems engineering &amp; operations</li> <li>Recruited engineers for DB Netz AG</li> </ul>	

<b>Assistant Professor</b> (German Jordanian University, Amman)	2006 - 2008 (part time)
<ul style="list-style-type: none"> <li>Part-time (40%) assistant professorship</li> <li>Taught courses in urban and transport planning, history of architecture</li> <li>Contributed to developing the university's degree and curriculum structure and content</li> </ul>	

<b>Doktor-Ingenieur</b> , PhD equivalent (Karlsruhe University of Technology)	2003 - 2005 (part time)
<ul style="list-style-type: none"> <li>Thesis: <i>Railway Station and City: Interactions Between Railway Stations and their Urban Surroundings</i></li> </ul>	

<b>Diplom-Ingenieur</b> , Master of Science equivalent (Karlsruhe University of Technology)	1998
<ul style="list-style-type: none"> <li>Faculty of Architecture; major fields of study: urban and transport planning</li> <li>Studies abroad: Curitiba, Brazil (1997); University of Rome (1994–95)</li> </ul>	

## PROFESSIONAL QUALIFICATIONS AND CERTIFICATIONS

Chief Engineer (certified by Railway Construction and Operations Law to head operations and construction of railway infrastructure according to § 47 (1) 1. EBO)	2011
European Railway Engineer, certified by the Union of European Railway Engineer Associations	2001
Architect, authorized to submit documents to approving authorities	2000

## LANGUAGES

- German (Mother Tongue)
- English (Business Fluent)
- Italian, French (Fluent)
- Portuguese (Conversational)

3669477

**State of California  
Secretary of State**

**CERTIFICATE OF QUALIFICATION**

I, DEBRA BOWEN, Secretary of State of the State of California, hereby certify that on the **24th day of April 2014**, **DB INTERNATIONAL USA, INC.**, a corporation organized and existing under the laws of **Delaware**, complied with the requirements of California law in effect on that date for the purpose of qualifying to transact intrastate business in the State of California, and that as of said date said corporation became and now is qualified and authorized to transact intrastate business in the State of California, subject however, to any licensing requirements otherwise imposed by the laws of this State.

**IN WITNESS WHEREOF**, I execute this certificate and affix the Great Seal of the State of California this day of April 28, 2014.



**DEBRA BOWEN**  
Secretary of State

JAM

NP-25 (REV 1/2007)

3669477

<b>S&amp;DC-S/N</b>	<b>Statement and Designation by Foreign Corporation</b>
<p>To qualify a corporation from another state or country to transact intrastate business in California, fill out this form, and submit for filing along with:</p> <ul style="list-style-type: none"> <li>- A <b>\$100</b> filing fee (for a foreign stock corporation) or <b>\$30</b> filing fee (for a foreign nonprofit corporation), and</li> <li>- A certificate of good standing, issued within the last six (6) months by the agency where the corporation was formed. <b>Note:</b> If the corporation is a nonprofit, the certificate of good standing also must indicate the corporation is a nonprofit or nonstock corporation.</li> <li>- A separate, non-refundable <b>\$15</b> service fee also must be included, if you <b>drop off</b> the completed form.</li> </ul> <p><b>Important!</b> Corporations in California may have to pay a minimum \$800 yearly tax to the California Franchise Tax Board. For more information, go to <a href="https://www.ftb.ca.gov">https://www.ftb.ca.gov</a>.</p>	

**FILED** *DBW*  
**Secretary of State**  
**State of California**

APR 24 2014

*CC* This Space For Office Use Only

For questions about this form, go to [www.sos.ca.gov/business/be/filing-tips.htm](http://www.sos.ca.gov/business/be/filing-tips.htm).

**Corporate Name** (List the exact name of the corporation, as shown in the certificate of good standing. If the name of the corporation is not available for use in the State of California, the corporation must qualify under an assumed name. E.g., "[list the exact name] which will do business in California as [list the proposed assumed name].") For general corporate name requirements and restrictions in California, go to [www.sos.ca.gov/business/be/name-availability.htm](http://www.sos.ca.gov/business/be/name-availability.htm).)

① DB International USA, Inc.

#### Corporate History

② State or foreign country where this corporation was formed: Delaware

**Service of Process** (List a California resident or an active 1505 corporation in California that agrees to be your agent to accept service of process in case your corporation is sued. You may list any adult who lives in California. You may not list your own corporation as the agent. Do not list an address if the agent is a 1505 corporation as the address for service of process is already on file.)

③ a. C T Corporation System

Agent's Name

b. CA  
 Agent's Street Address (if agent is not a corporation) - Do not list a P.O. Box City (no abbreviations) State Zip

The corporation named in Item 1 above irrevocably consents to service of process directed to it upon the agent designated above, and to service of process on the California Secretary of State if that agent or that agent's successor is no longer authorized to act or cannot be found at the address given.

#### Corporate Addresses

④ a. 120 White Plains Road, Suite 402 Tarrytown NY 10591  
 Street Address of Principal Executive Office - Do not list a P.O. Box City (no abbreviations) State Zip

b. CA  
 Street Address of Principal Office in California, if any - Do not list a P.O. Box City (no abbreviations) State Zip

c. CA  
 Mailing Address of Principal Executive Office, if different from 4a or 4b City (no abbreviations) State Zip

**Read and sign below:** This form must be signed by an officer of the foreign corporation.

Sign here

Brian Lynch

Print your name here

Secretary

Your business title

Make check/money order payable to: **Secretary of State**

Upon filing, we will return one (1) uncertified copy of your filed document for free, and will certify the copy upon request and payment of a \$5 certification fee.

#### By Mail

Secretary of State  
 Business Entities, P.O. Box 944260  
 Sacramento, CA 94244-2600

#### Drop-Off

Secretary of State  
 1500 11th Street, 3rd Floor  
 Sacramento, CA 95814

Corporations Code §§ 2105, 2106, Revenue and Taxation Code § 23153  
 S&DC-STKNP (REV 05/2013)

2013 California Secretary of State  
[www.sos.ca.gov/business/be](http://www.sos.ca.gov/business/be)

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## 2 Form A: Schedule of Subcontractors(s)/Subconsultants

Names and Addresses of Subcontractor(s)/Subconsultant(s)		Type of Work to be Performed & Percentage of Proposal Price	Small Business Status (Check all that apply)		Previous Year's Annual Gross Receipts
Name:	DB Engineering & Consulting GmbH	Project Management, Operation & Maintenance Consulting, Procurement Consulting, 1 %	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		< \$500K
Street Address:	EUREF-14, Torgauer Straße 12-15		Check all that apply <input type="checkbox"/> DBE <input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE	Certification #	<input type="checkbox"/> \$500K-\$2 M
City, State Zip:	10829 Berlin, Germany				<input type="checkbox"/> \$2 Mil-\$5 M
Phone:	+49 30 29759310				
Fax:	+49 30 63432804				
Tax ID:			Age of Firm: 51		<input checked="" type="checkbox"/> > \$5M
Contact Person:	Oliver Pietz				
Email:	Oliver.O.Pietz@deutschebahn.com				
Name:	HDR Engineering, Inc. (HDR)	Financial Modeling, FRA Regulations, Procurement Consulting, 12 %	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		< \$500K
Street Address:	2379 Gateway Oaks Drive, Suite 200		Check all that apply <input type="checkbox"/> DBE <input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE	Certification #	<input type="checkbox"/> \$500K-\$2 M
City, State Zip:	Sacramento, CA 95833				<input type="checkbox"/> \$2 M-\$5 M
Phone:	(916) 679-8860				
Fax:	(916) 679-8701				
Tax ID:			Age of Firm: 100		<input checked="" type="checkbox"/> > \$5M
Contact Person:	Randy Altshuler				
Email:	Randy.Altshuler@hdrinc.com				
Name:	Alternate Concepts, Inc. (ACI)	Operation Integration Management, FRA Regulations, Procurement Consulting, 17 %	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		< \$500K
Street Address:	One Liberty Square, Suite 430		Check all that apply <input type="checkbox"/> DBE <input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE	Certification #	<input type="checkbox"/> \$500K-\$2 Mil
City, State Zip:	Boston, MA 02109				<input type="checkbox"/> \$2 M-\$5 M
Phone:	617-523-3131				
Fax:	617-523-9696				
Tax ID:			Age of Firm: 28		<input checked="" type="checkbox"/> > \$5M
Contact Person:	Bernard Cohen				
Email:	bcohen@aciboston.com				
Name:	Raul V. Bravo + Associates, Inc.	Vehicles, Systems, FTA Regulations, 5 %	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		< \$500K
Street Address:	1889 Preston White Drive, Suite 202		Check all that apply <input checked="" type="checkbox"/> DBE <input checked="" type="checkbox"/> SB <input checked="" type="checkbox"/> MB <input type="checkbox"/> DVBE	Certification # 8585	<input type="checkbox"/> \$500K-\$2 M
City, State Zip:	Reston, VA 20191				<input type="checkbox"/> \$2 Mil-\$5 M
Phone:	703-326-9092				
Fax:	703-326-9096				
Tax ID:			Age of Firm: 38		<input checked="" type="checkbox"/> > \$5M
Contact Person:	Claudio R. Bravo				
Email:	contact@rvba.com				

Names and Addresses of Subcontractor(s)/Subconsultant(s)		Type of Work to be Performed & Percentage of Proposal Price	Small Business Status (Check all that apply)		Previous Year's Annual Gross Receipts
Name:	FMG Architects	Stations Design, 5 %	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		< \$500K
Street Address:	330 15th Street		Check all that apply <input checked="" type="checkbox"/> DBE <input checked="" type="checkbox"/> SB <input checked="" type="checkbox"/> MB <input type="checkbox"/> DVBE	Certification # CUCP #52	<input checked="" type="checkbox"/> \$500K-\$2 M
City, State Zip:	Oakland, CA 94612				<input type="checkbox"/> \$2 Mil-\$5 M
Phone:	(510) 465-8700				<input type="checkbox"/> > \$5M
Fax:	None				
Tax ID:	[REDACTED]				
Contact Person:	Charissa Frank	Age of Firm: 36			
Email:	cfrank@fmgarchitects.com				
Name:	Pendergast Consulting Group	SB Program Management, 4 %	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> < \$500K
Street Address:	1 Avenue of the Palms Avenue #304		Check all that apply <input type="checkbox"/> DBE <input checked="" type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE	Certification # 24161	<input checked="" type="checkbox"/> \$500K-\$2 M
City, State Zip:	San Francisco, CA 94130				<input type="checkbox"/> \$2 M-\$5 M
Phone:	415-621-0600				<input type="checkbox"/> > \$5M
Fax:	415-621-0590				
Tax ID:	[REDACTED]				
Contact Person:	Paul Pendergast	Age of Firm: 26			
Email:	paul@pendergastconsultinggroup.com				
Name:	Acumen Building Enterprise, Inc.	Fare Collection, 4 %	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> < \$500K
Street Address:	7770 Pardee Lane, Suite 200		Check all that apply <input checked="" type="checkbox"/> DBE <input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE	Certification # 26422	<input type="checkbox"/> \$500K-\$2 Mil
City, State Zip:	Oakland, CA 94621-1490				<input checked="" type="checkbox"/> \$2 M-\$5 M
Phone:	(510) 530-3029				<input type="checkbox"/> > \$5M
Fax:	(510) 530-3125				
Tax ID:	[REDACTED]				
Contact Person:	Walter E.Allen	Age of Firm: 23			
Email:	walter.allen@acumentransit.com				
Name:	ProProse LLC dba Sagent (Sagent)	Marketing and Branding, 5 %	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		< \$500K
Street Address:	2215 21 <sup>st</sup> Street		Check all that apply <input checked="" type="checkbox"/> DBE <input checked="" type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE	Certification # 37643 0038182	<input type="checkbox"/> \$500K-\$2 M
City, State Zip:	Sacramento, CA 95818				<input type="checkbox"/> \$2 Mil-\$5 M
Phone:	916-359-8316				<input checked="" type="checkbox"/> > \$5M
Fax:	916-283-4025				
Tax ID:	[REDACTED]				
Contact Person:	Anne Staines	Age of Firm: 13			
Email:	Anne@SagentMarketing.com				

Names and Addresses of Subcontractor(s)/Subconsultant(s)		Type of Work to be Performed & Percentage of Proposal Price	Small Business Status (Check all that apply)		Previous Year's Annual Gross Receipts
Name:	B&G Transportation Group, LLC	Safety Plan and Ops; Signaling, 3 %	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		< \$500K
Street Address:	1025 Park Place – Suite 408		Check all that apply <input type="checkbox"/> DBE <input checked="" type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE	Certification # 200000b	<input checked="" type="checkbox"/> \$500K-\$2 M
City, State Zip:	San Mateo, CA 94403				<input type="checkbox"/> \$2 Mil-\$5 M
Phone:	650-288-5070				
Fax:					
Tax ID:					
Contact Person:	James T. Brown	Age of Firm: 3,5			<input type="checkbox"/> > \$5M
Email:	jtb@bgtransit.com				
Name:	Soar Environmental Consulting, Inc.	Emergency and Safety Procedures, Environmental Compliance, 3 %	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		< \$500K
Street Address:	1401 Fulton St., Suite 918		Check all that apply <input type="checkbox"/> DBE <input checked="" type="checkbox"/> SB <input checked="" type="checkbox"/> MB <input checked="" type="checkbox"/> DVBE	Certification # 1786933	<input checked="" type="checkbox"/> \$500K-\$2 M
City, State Zip:	Fresno, CA 93721				<input type="checkbox"/> \$2 M-\$5 M
Phone:	559.547.8884				
Fax:					
Tax ID:					
Contact Person:	Michael J. Murphy	Age of Firm: 3			<input type="checkbox"/> > \$5M
Email:	mjmurphy@soarhere.com				
Name:	KL Bartlett Consulting	SB Program Reporting, 1 %	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input checked="" type="checkbox"/> < \$500K
Street Address:	1229 Lakehurst Road		Check all that apply <input checked="" type="checkbox"/> DBE <input checked="" type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE	Certification # 43753	<input type="checkbox"/> \$500K-\$2 Mil
City, State Zip:	Livermore, CA 94551				<input type="checkbox"/> \$2 M-\$5 M
Phone:	(925) 597-8363				
Fax:					
Tax ID:					
Contact Person:	Karen Bartlett	Age of Firm: 13			<input type="checkbox"/> > \$5M
Email:	Klbartlett.consulting@gmail.com				



Attach to this form copy(s) of applicable Certificates for those Subcontractor / Subconsultants that are designated as SB/ MB/ DBE/ DVBES. Include all applicable certifications.



Signature of Team Representative

Carsten Puls

Printed Name

President

Title

August 8, 2017

Date

Organization Name,  
Address, and Telephone

DB Engineering & Consulting USA Inc.  
120 White Plains Road, Tarrytown,  
New York 10591,  
914-366-7237

**Certificates Raul V. Bravo + Associates, Inc.**

**BUSINESS ENTERPRISE CERTIFICATE**

**RAUL V. BRAVO + ASSOCIATES INC.**

1889 PRESTON WHITE DRIVE, #202

RESTON, VA 20191

Owner: RAUL BRAVO

Business Structure: CORPORATION

STATE MINORITY BUSINESS ENTERPRISE

This Certification Not Valid For Federal Aid Contracts

This certificate acknowledges that said firm is approved by the California Department of Transportation as a State Minority Business Enterprise or State Women Business Enterprise (or in some cases both) in accordance with Assembly Bill Number 486, Chapter 1329 and the California Public Code, Chapter 2.5 (commencing with Section 2050), for the following NAICS codes:

- 541618 Other Management Consulting Services
- 541611 Administrative Management and General Management Consulting Services
- \* 541614 Process, Physical Distribution, and Logistics Consulting Services

\* Indicates primary NAICS code

**CERTIFYING AGENCY:**  
DEPARTMENT OF TRANSPORTATION  
1823 14TH STREET, MS 79  
SACRAMENTO, CA 95814 0000  
(916) 324-1700

Firm Number : 8685  
Renewal Date : June 1, 2019

May 22, 2017

JANICE SALAIS, Assistant Director  
Office of Business and Economic Opportunity



Los Angeles County  
Metropolitan Transportation Authority

One Gateway Plaza  
Los Angeles, CA 90012-2952

213-922-2000 Tel  
metro.net



## Metro CALIFORNIA UNIFIED CERTIFICATION PROGRAM

December 11, 2013

**CUCP #8585**  
**Metro File # 274**

Raul V. Bravo  
**Raul V. Bravo & Associates, Inc.**  
1889 Preston White Dr.  
Reston, VA 20191

### RE: Disadvantaged Business Enterprise Certification

Dear Raul V. Bravo :

We are pleased to advise you that after careful review of your application and supporting documentation, the Los Angeles County Metropolitan Transportation Authority (Metro) has determined that your firm meets the eligibility standards to be certified as a Disadvantaged Business Enterprise (DBE) as required under the U.S. Department of Transportation (U.S. DOT) Regulation 49 CFR Part 26, as amended. This certification will be recognized by all of the U.S. DOT recipients in California. Your firm will be listed in the California Unified Certification Program (CUCP) database of certified DBEs under the following specific areas of expertise that you have identified on the NAICS codes form of the application package:

NAICS (2007)	Description
541614	Process, Physical Distribution and Logistics Consulting Services
541611	Administrative Management and General Management Consulting Services
541618	Other Management Consulting Services
541420	Industrial Design Services

Your DBE certification applies only for the above codes. You may review your firm's information in the CUCP DBE database which can be accessed at the CUCP's website at [www.californiaucp.org](http://www.californiaucp.org). Any additions and revisions must be submitted to Metro for review and approval.


In order to ensure your continued DBE status, you are required to submit an annual No Change Declaration Form (which will be sent to you) along with supporting documentation. If no changes are noted, then your DBE status remains current. If there are changes, Metro will review to determine continued DBE eligibility. Please note, your DBE status remains in effect unless Metro notifies you otherwise.

Should any changes occur that could affect your certification status prior to receipt of the No Change Declaration Form, such as changes in your firm's name, business/mailling address, ownership, management or control, or failure to meet the applicable business size standards or personal net worth standard, please notify Metro immediately. Failure to submit forms and/or change of information will be deemed a failure to cooperate under Section 26.109 of the Regulations.

Metro reserves the right to withdraw this certification if at any time it is determined that it was knowingly obtained by false, misleading, or incorrect information. Your DBE certification is subject to review at any time. The firm thereby consents to the examination of its books, records and documents by Metro.

Congratulations, and thank you for your interest in the DBE program. Should you have any questions, please contact us at [213-922-2600](tel:213-922-2600). For information on Metro contracting opportunities, please visit our website at [www.metro.net](http://www.metro.net).

Sincerely,

  
Marilyn White  
Certification Consultant – HSW Services  
Diversity & Economic Opportunity Department

F:\Raul V. Bravo & Associates, Inc. - DBE Approval Letter - Marilyn-T.doc

**Small Business Certification Unit**  
One Gateway Plaza, Suite 900, Los Angeles, CA 90012-2952  
One Gateway Plaza, Suite 900, Los Angeles, CA 90012-2952  
Ph: 213-922-2600 Fax: 213-922-7600

1518



**Metro**

Los Angeles County  
Metropolitan Transportation Authority

One Gateway Plaza  
Los Angeles, CA 90012-2952

213.922.2000 Tel  
metro.net

December 11, 2013

**Metro File # 274**

Raul V. Bravo  
**Raul V. Bravo & Associates, Inc**  
1889 Preston White Dr.  
Reston, VA 20191

**Re: Small Business Enterprise Certification**

Dear Raul V. Bravo :

We are pleased to advise you that after careful review of your application and supporting documentation, the Los Angeles County Metropolitan Transportation Authority (Metro) has determined that your firm meets the eligibility standards to be certified as a Small Business Enterprise (SBE) as required under Metro's SBE Program. Your firm will be listed in Metro's SBE database of certified SBEs under the following specific areas of expertise:

NAICS (2007)	Description
541614	Process, Physical Distribution and Logistics Consulting Services
541611	Administrative Management and General Management Consulting Services
541618	Other Management Consulting Services
541420	Industrial Design Services

Your SBE certification is good for five years from the date of this letter and applies only for the above NAICS 2007 codes. Any additions and revisions must be submitted to Metro for review and approval


After the five-year certification period, your entire file will be reviewed in order to ascertain continued SBE certification status. You will be notified of the pending SBE status review and any documentation updates necessary prior to the expiration date.

Also, should any changes occur that could affect your certification status prior to receipt of the renewal application, such as changes in your firm's name, business/ mailing address, ownership, management or control, or failure to meet the applicable business size standards or personal net worth standard, please notify Metro immediately.

Metro reserves the right to withdraw this certification if at any time it is determined that it was knowingly obtained by false, misleading, or incorrect information. Your SBE certification is subject to review at any time. The firm thereby consents to the examination of its books, records, and documents by Metro.

Congratulations, and thank you for your interest in Metro's SBE Program. Should you have any questions, please contact us at 213-922-2600. For information on Metro contracting opportunities, please visit our website at www.metro.net.

Sincerely,

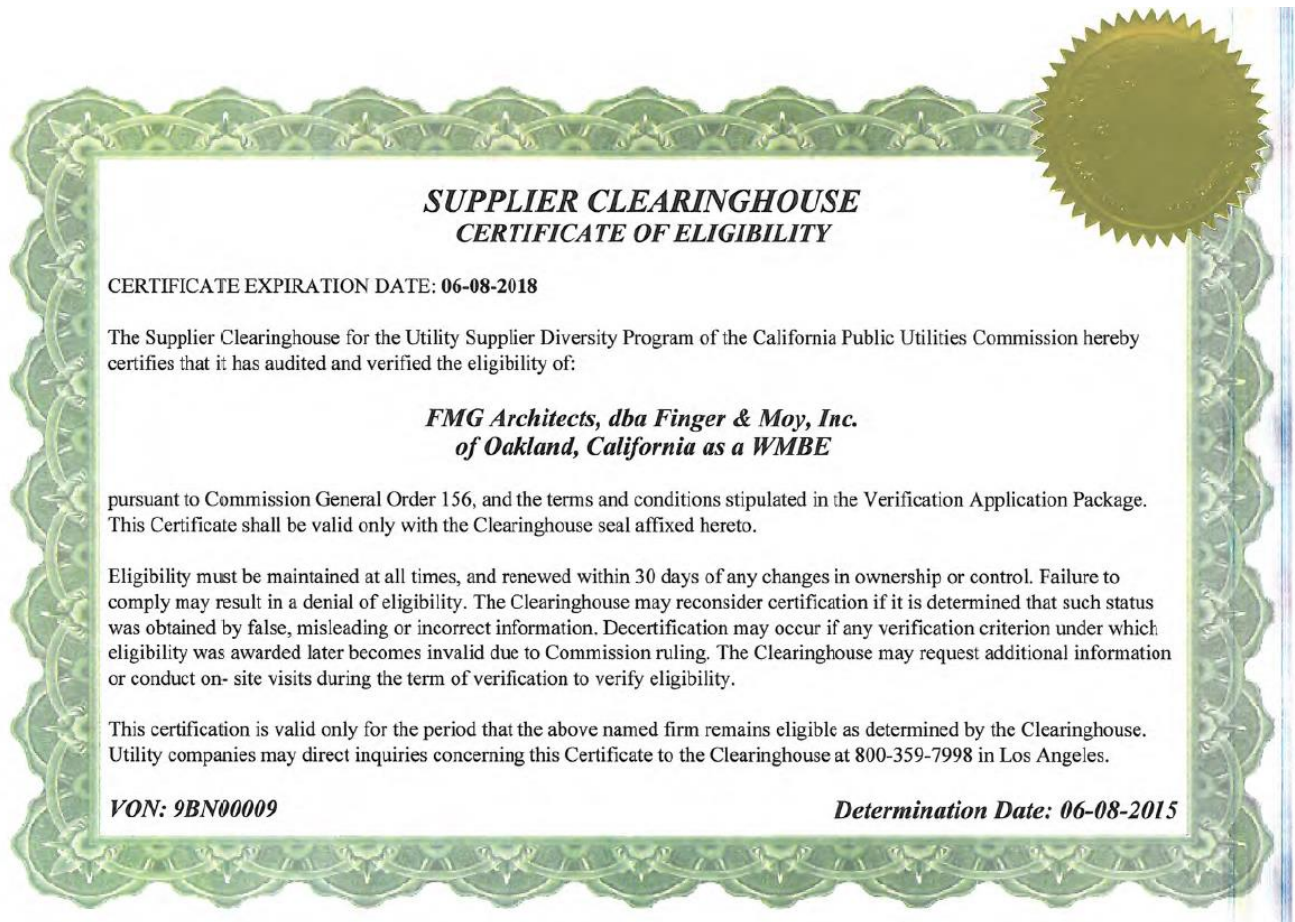
  
Marilyn White  
Certification Consultant, HSW Services  
Diversity & Economic Opportunity Department

F:\Raul V. Bravo & Associates, Inc- SBE Approval Letter - Marilyn-5.doc

Small Business Certification Unit  
One Gateway Plaza, Mail Stop 99-8-4, Los Angeles, CA 90012-2952  
Ph: 213-922-2600 Fax: 213-922-7600

101672

## Certificates FMG Architects







Claudia Guadagne  
FMG Architects  
330 15<sup>th</sup> Street  
Oakland, CA 94612

VON: 9BN00009

Congratulations, the Supplier Clearinghouse is pleased to inform you that in accordance with General Order 156, your business enterprise has successfully completed the verification process, and your company has received the following certification:

**WMBE**

Your certification enables your company to be recognized as a minority owned business when competing for procurement by public utilities participating in the Utility Supplier Diversity Program.

This certification is valid for three years with the following conditions:

1. You must notify the Clearinghouse of any change in ownership and/or control of your business enterprise within 30 days of the change. Failure to notify the Clearinghouse violates section 8285 of the Public Utilities Code, which is cited in the application.
2. The Clearinghouse may reconsider your certification status if:
  - a. It is determined that such status was knowingly obtained by false, misleading or incorrect information.
  - b. In a formal opinion, the California Public Utilities Commission determines that the WMBE verification criteria under which you were deemed eligible is no longer valid.
3. The Clearinghouse may request additional information or conduct an on-site visit at any time during the term of your verification. As a result of the site-visit, if it is determined that your company has violated condition one or two of this section, your company may be subject to deverification.

The Supplier Clearinghouse Certification is valid for three years. If the Clearinghouse has verified and certified your company using the comparable agency verification process, your certification expires the same date as the comparable agency certification expires. Also note that if the comparable agency certification exceeds three years, your Supplier Clearinghouse certification is only valid for three years and you are required to submit an application for re-verification after three years to retain your eligibility.

To ensure that we have current contact information, please notify us of any change in address, website, and email so that you will receive renewal notices and other pertinent information. You may contact our offices at 1-800 359-7998. If you need additional information, please visit our website at [www.thesupplierclearinghouse.com](http://www.thesupplierclearinghouse.com).

The Supplier Clearinghouse

## CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



BAY AREA RAPID TRANSIT DISTRICT (BART)  
OFFICE OF CIVIL RIGHTS  
300 LAKESIDE DRIVE, 16<sup>TH</sup> FLOOR  
OAKLAND, CA 94612

Phone: (510) 464-6100  
Toll Free: ( )  
Fax: (510) 874-7470  
TTY: ( )

December 22, 2015

Ms. Claudia Guadagne  
FMG Architects  
330 15<sup>th</sup> Street  
Oakland, CA 94612

**Subject: Disadvantaged Business Enterprise Certification No. 52**

Dear Ms. Guadagne:

We are pleased to advise you that after careful review of your supporting documentation, the San Francisco Bay Area Rapid Transit District has determined that your firm continues meets the eligibility standards to be certified as a Disadvantaged Business Enterprise (DBE) as required under the U.S. Department of Transportation (U.S. DOT) Regulation 49 CFR Part 26, as amended.

Your DBE certification will be honored by all U.S. DOT recipients in California, and your firm will continue to be listed in the California Unified Certification Program (CUCP) database of certified DBEs under the following specific areas of expertise:

<u>NAICS Codes</u>	<u>Description</u>
541310	Architectural Services
541410	Interior Design Services
541490	Other Specialized Design Services
541618	Other Management Consulting Services

You may review your firm's information in the CUCP DBE Database which can be accessed at the California Department of Transportation's website at [www.dot.ca.gov/hq/bep/](http://www.dot.ca.gov/hq/bep/). Any additions and revisions must be submitted to the District for approval.

In order to assure continuing DBE status, you must submit annually a No Change Declaration form (which will be sent to you), along with supporting documentation.

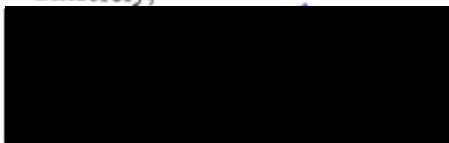
Also, should any changes occur that could affect your certification status prior to receipt of the DBE Declaration, such as changes in your firm's name, business/ mailing address, ownership, management or control, or failure to meet the applicable business size standards or personal net

FMG Architects  
December 22, 2015  
Page 2

worth standard, please notify me immediately. DBE certification is subject to review at any time. Failure to submit forms and/or change of information will be deemed as failure to cooperate under Section 26.109 of the Regulations.

Congratulations, and thank you for your continued interest in participating in the DBE Program. I wish you every business success and look forward to hearing from you if I may be of any assistance to you in this regard.

Sincerely,

A large black rectangular redaction box covering the signature of Ruby Smith.

Ruby Smith, Program Manager  
Economic Opportunity Policy & Programs



## Certificates Pendergast Consulting Group

Printed on: 8/30/2017 8:19:19 AM

To verify most current certification status go to: <https://www.caleprocure.ca.gov>



### Office of Small Business & DVBE Services

**Certification ID:** 24161

**Legal Business Name:**

PENDERGAST CONSULTING GROUP

**Doing Business As (DBA) Name 1:**

PENDERGAST CONSULTING GROUP

**Doing Business As (DBA) Name 2:**

**Address:**

1 AVENUE OF THE PALMS AVENUE

STE. 304

SAN FRANCISCO

CA 94130

**Email Address:**

pendergastremote@yahoo.com

**Business Web Page:**

<http://www.pendergastconsultinggroup.com>

**Business Phone Number:**

415/621-0600

**Business Fax Number:**

415/621-0590

**Business Types:**

Service

Certification Type	Status	From	To
SB(Micro)	Approved	12/09/2016	12/31/2018

Stay informed! KEEP YOUR CERTIFICATION PROFILE UPDATED!

-LOG IN at [CaleProcure.CA.GOV](https://www.caleprocure.ca.gov)

Questions?

Email: [OSDSHELP@DGS.CA.GOV](mailto:OSDSHELP@DGS.CA.GOV)

Call OSDS Main Number: 916-375-4940

707 3rd Street, 1-400, West Sacramento, CA 95605

## Certificates Acumen Building Enterprise, Inc.

Unified Certification Program		Page 1 of 1
<a href="#">Back To Query Form</a>		
<b>Search Returned 1 Records</b>		Thu Jun 20 16:30:05 PDT 2013
<b>Query Criteria</b>		
Firm/DBA Name:	ABC Company	<b>SAMPLE</b>
Firm Type:	DBE	
Firm ID	91919	
Firm/DBA Name	ABC COMPANY	
Address Line1	1234 ANY LANE, SUITE 100	
Address Line2		
City	OAKLAND	
State	CA	
Zip Code1	94600	
Zip Code2	1490	
Mailing Address Line1	1234 ANY LANE, SUITE 100	
Mailing Address Line2		
Mailing City	OAKLAND	
Mailing State	CA	
Mailing Zip Code1	94600	
Mailing Zip Code2	1490	
Certification Type	DBE	
EMail	project@abccompany.com	
Contact Name	JORGE SMITH	
Area Code	( 510 )	
Phone Number	456-7890	
Fax Area Code	( 510 )	
Fax Phone Number	456-7890	
Agency Name	CERTIFYING AGENCY	
Counties	00;	
Districts	00;	
DBE NAICS	541511; 541512; 541513; 541519; 541611; 541614; 561210; 561410;	
ACDBE NAICS		
Work Codes	C8702 MANAGEMENT INFORMATION SYSTEMS; C8703 TRAFFIC ENGINEER; C8770 CONSTRUCTION MANAGEMENT; I7371 COMPUTER PROGRAMMING; I7373 INTEGRATED SYSTEMS & CAD/CAM SYSTEMS;	
Licenses		
Trucks		
Gender	M	
Ethnicity	BLACK	
Firm Type	DBE	
<a href="#">Back To Query Form</a>		
<a href="http://www.dot.ca.gov/ucp/QuerySubmit.do">http://www.dot.ca.gov/ucp/QuerySubmit.do</a>		

---

**Query Criteria**

Firm ID: 26422

Firm Type: DBE

---

Firm ID	26422
Firm/DBA Name	ACUMEN BUILDING ENTERPRISE, INC.
Address Line1	7770 PARDEE LANE, SUITE 200
Address Line2	
City	OAKLAND
State	CA
Zip Code1	94621
Zip Code2	1490
Mailing Address Line1	7770 PARDEE LANE, SUITE 200
Mailing Address Line2	
Mailing City	OAKLAND
Mailing State	CA
Mailing Zip Code1	94621
Mailing Zip Code2	1490
Certification Type	DBE
E-Mail	project@acumentransit.com
Contact Name	WALTER ALLEN
Area Code	( 510 )
Phone Number	530-3029
Fax Area Code	( 510 )
Fax Phone Number	530-3125
Agency Name	SAN MATEO COUNTY TRANSIT DISTRICT (SAMTRANS)/JPB
Counties	00;
Districts	00;
DBE NAICS	236220; 541330; 541511; 541512; 541513; 541519; 541611; 541614; 561210; 561410;

**ACDBE NAICS**

Work Codes	C8702 MANAGEMENT INFORMATION SYSTEMS; C8703 TRAFFIC ENGINEER; C8710 ENGINEERING; C8770 CONSTRUCTION MANAGEMENT; I7371 COMPUTER PROGRAMMING; I7373 INTEGRATED SYSTEMS & CAD/CAM SYSTEMS;
Licenses	
Trucks	
Gender	M
Ethnicity	BLACK
Firm Type	DBE

---

## Certificates ProPose LLC dba Sagent



State of California • Department of General Services • Arnold Schwarzenegger, Governor

### PROCUREMENT DIVISION

Office of Small Business and DVBE Services

707 Third Street, 1st Floor, Room 400 • PO Box 989052

West Sacramento, California 95798-9052 • (800) 559-5529

SB APP 20080813145638

August 13, 2008

REF# 0038182  
PROPOSE LLC  
4515 N PARK DR  
SACRAMENTO CA 95821

Dear Business Person:

Congratulations on your certified small business status with the State of California. Your certification entitles you to benefits under the state's Small Business Participation Program within state contracting, including a five percent bidding preference and special provisions under the Prompt Payment Act.

#### Certification period

Your certification period for each business type is:

Industry	From	To
SERVICE	08/07/2008	08/31/2009

#### Annual Submission Requirement

To maintain your certified status, you must annually submit to the Office of Small Business and DVBE Services (OSDS), proof of annual receipts and proof of employees for your firm and each of your affiliates (if any).

#### Proof of Annual Receipts

Submit to OSDS, a copy of your firm's and any affiliate firm's ENTIRE federal tax return each year following your certification. Include ALL accompanying schedules, forms, statements, and any other support documents filed with that specific tax return.

If you request a tax filing extension with the Internal Revenue Service, submit to our office a copy of the extension form. When your tax returns are filed, submit a copy of the entire federal tax return to our office.

#### Proof of Employees

If you have employees whose taxable wages are reported to the California Employment Development Department (EDD) on a quarterly basis, you must annually submit to our office along with your proof of annual receipts, proof of employees for your firm and any affiliates.

We will accept a copy of the EDD's "Quarterly Wage and Withholding Report" (Form DE6) or other format accepted by the EDD. Your employee documents must cover the same four quarters as the tax return you submit for your proof of annual receipts.

If you have out-of-state employees, submit the employee documentation comparable to EDD's "Quarterly Wage and Withholding Report" for the same four-quarter period.

#### Maintaining Your Online Certified Firm Profile



A secure access feature on our website enables you to maintain certain company profile information, including customizable keywords to best describe your business specialties with. Details about the Certified Firm Profile and your secure logon information are available on the final page of this letter. Please keep your logon information page in a secure place and DO NOT share it with anyone or include it with any of your bid documents or submittals.

#### **Reporting Business Changes**

You must notify OSDS of all business changes or your certification status will be subject to revocation. The enclosed "Certification Information Change" form identifies specific items that may be reported using the change form and it identifies other changes that require a new certification application submittal.

#### **Prompt Payment Rubber Stamp**

The Prompt Payment Act requires state agencies to pay the undisputed invoices of certified small businesses and registered nonprofit organizations on a timely basis. Prompt payment is reinforced by adding interest penalties for late payment. Covered under the Act are certified small businesses that are either a service, manufacturer, or non-manufacturer firm, and nonprofit organizations registered with OSDS.

Compensation on late or unpaid progress payments for certified construction firms is addressed in Public Contract Code, Section §10261.5.

Use of the prompt payment rubber stamp alerts state agencies of a firm's certified small business or registered nonprofit status.

#### Ordering a rubber stamp

To purchase a prompt payment rubber stamp, complete and submit the enclosed Prompt Payment Rubber Stamp Order Form.

#### **Proof of Eligibility**

Maintain this original certification letter for future business needs. To demonstrate your firm's small business eligibility, include a copy of this letter in your state contract bid submittals.

*Prior to contract award, agencies will assure the vendor is in compliance with Public Contract Code, Section 10410 et seq. addressing conflict of interest for state officers, state employees or former state employees.*

#### **Certification Renewal**

A renewal application will be mailed to you prior to the expiration of your small business certification. If you do not receive an application, please call us so that you may timely renew your certification.

**Query Criteria**

Firm/DBA Name: Sagent  
City: Sacramento  
Zip Code: 95818  
Area Code: 916  
Naics Category: 54 Professional, Scientific, and Technical Services  
Firm Type: DBE  
Gender: F

Firm ID	37643
Firm/DBA Name	SAGENT
Address Line1	2215 21ST STREET
Address Line2	
City	SACRAMENTO
State	CA
Zip Code1	95818
Zip Code2	
Mailing Address Line1	
Mailing Address Line2	
Mailing City	
Mailing State	
Mailing Zip Code1	
Mailing Zip Code2	
Certification Type	DBE
E-Mail	anne@sagentmarketing.com
Contact Name	ANNE STAINES
Area Code	( 916 )
Phone Number	359-8316
Extension	
Alt Area Code	( )
Alt Phone Number	
Extension	
Fax Area Code	( 916 )
Fax Phone Number	283-4025
Agency Name	DEPARTMENT OF TRANSPORTATION
Counties	02; 03; 04; 06; 09; 11; 20; 31; 32; 34; 39; 45; 46; 50; 51; 52; 53; 57;
Districts	02; 03; 10;
DBE NAICS	541430; 541611; 541613; 541810; 541820; 541830; 541910;
ACDBE NAICS	
Work Codes	18740 MANAGEMENT & PUBLIC RELATIONS; 17380 MISC BUSINESS SERVICES; 17310 ADVERTISING;
Licenses	
Trucks	
Gender	F
Ethnicity	CAUCASIAN
Firm Type	DBE

## Certificates B&G Transportation Group, LLC



Governor Edmund G. Brown Jr.

December 15, 2015

SB APP

Certification ID #2000006  
B&G TRANSPORTATION GROUP, LLC  
1025 Park Place, #408  
San Mateo, CA

Dear Business Person:

Congratulations on your Small Business (SB) certification with the State of California. Your business is now entitled to compete in the State's goal to spend 25 percent of its annual contracting dollars with small businesses. Each certified SB receives a five percent bid preference on applicable solicitations. This certification also guarantees higher interest penalties for late payment of undisputed invoices. You may purchase a rubber stamp by completing the Prompt Payment Stamp Order form at [www.documents.dgs.ca.gov/pd/smallbus/ppstampreq.pdf](http://www.documents.dgs.ca.gov/pd/smallbus/ppstampreq.pdf). For more information or to verify certification status, visit [www.eprocure.dgs.ca.gov](http://www.eprocure.dgs.ca.gov).

### **Certification Period**

From Nov 20, 2015 To Nov 30, 2017

### **Business Types**

Service

### **Conflict of Interest for Current and Former State Employees**

*Prior to contract award, agencies will assure the vendor is in compliance with Public Contract Code, Section 10410 et seq. addressing conflict of interest for State employees or former employees.*

### **Annual Submission Requirement**

Submit copies of ENTIRE federal tax return to the Office of Small Business and DVBE Services (OSDS). If you have been granted a tax filing extension with the Internal Revenue Service, submit a copy of the extension form and annual financial statements; then, submit a copy of the tax return once filed. If you have employees, include the California Employment Development Department's "Quarterly Contribution Return and Report of Wages (Continuation)" (Form DE9C). If you have out-of-state employees, submit the employee documentation comparable to Form DE9C. These annual submissions also apply to all affiliated businesses.

## Certificates Soar Environmental Consulting, Inc.

6/2/2017

Supplier Profile

### Supplier Profile State of California Certification



Certification ID : 1786933

Legal Business Name  
SOAR ENVIRONMENTAL CONSULTING

Address  
1401 FULTON ST Suite 918

Doing Business As (DBA) Name1:  
SOAR ENVIRONMENTAL CONSULTING

.....  
Fresno  
CA 93721

Doing Business As (DBA) Name2:

Email:  
mjmurphy@soarhere.com (mailto:mjmurphy@soarhere.com)

Office Phone Number  
559,547,8884

Total No. of Employees  
7

Business Fax Number

Business Types:  
Service

Business Web Address  
www.soarhere.com ()

Notification Preference  
Email

#### Service Areas

Alameda , Alpine , Alpine , Amador , Butte , Calaveras , Colusa , Contra Costa , Del Norte , El Dorado , Fresno , Fresno , Glenn , Humboldt , Imperial , Inyo , Kern , Kings , Lake , Lassen , Los Angeles , Los Angeles , Madera , Madera , Marin , Mariposa , Mendocino , Merced , Modoc , Mono , Monterey , Monterey , Napa , Napa , Nevada , Orange , Orange , Placer , Plumas , Riverside , Riverside , Sacramento , San Benito , San Bernardino , San Bernardino , San Diego , San Diego , San Francisco , San Joaquin , San Joaquin , San Luis Obispo , San Luis Obispo , San Mateo , Santa Barbara , Santa Barbara , Santa Clara , Santa Cruz , Shasta , Sierra , Siskiyou , Solano , Sonoma , Stanislaus , Sutter , Tehama , Trinity , Tulare , Tulare , Tuolumne , Ventura , Yolo , Yuba

[View Keywords](#)

[View Classifications](#)

[View SB](#)

[Amend SB](#)

[View DVBE](#)

[Amend DVBE](#)

[View Both Applications](#)

[Amend Both Applications](#)

#### Active Certifications

?

Certification Type	Application Date	Status	Status Date/Time	From	To	Cancel
DVBE	05/26/2017	Approved	06/02/17 2:57PM	06/02/2017	06/30/2019	
SB(Micro)	05/26/2017	Approved	06/02/17 2:57PM	06/02/2017	06/30/2019	



## CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



DEPARTMENT OF TRANSPORTATION  
OFFICE OF BUSINESS AND ECONOMIC OPPORTUNITY  
1823 14<sup>th</sup> STREET  
SACRAMENTO, CA 95811  
Phone: (916) 324-1700  
Fax : (916) 324-1862  
TTY 711

March 7, 2017

Ms. Karen Bartlett  
KL Bartlett  
1229 Lakehurst Road  
Livermore, CA 94551

Firm Number: 43753

Dear Ms. Bartlett:

I am pleased to advise you that after careful review of your application and supporting documentation, the California Department of Transportation (Caltrans) has determined that your firm meets the eligibility standards to be certified as a Disadvantaged Business Enterprise (DBE) as required under the U.S. Department of Transportation's Code of Federal Regulation (CFR) 49, Part 26, as amended.

Your firm will be listed in the California Unified Certification Program (CUCP) database of certified DBEs under these specific areas of your expertise and license identified following a comprehensive review of your firm:

NAICS Category Codes	Description
541219	Other Accounting Services
541611	Administrative Management and General Management Consulting Services
541618	Other Management Consulting Services
561110	Office Administrative Services

Work Category Codes	Description
C8701	Business Administration
C8801	Construction Project and Document Control

Your DBE certification is recognized solely for the above codes. You may review your firm's information in the CUCP DBE Database, which can be accessed at Caltrans' Web site at <http://www.dot.ca.gov/hq/bep/>. Any additions and revisions must be submitted to Caltrans for review and approval.

In order to assure continuing DBE status, you must annually submit a No Change Declaration Form (which will be sent to you) along with supporting documentation. Based on your annual

Ms. Karen Bartlett  
March 7, 2017  
Page 2

Firm Number: 43753

submission – that no change in ownership and control has occurred – or if changes have occurred, they do not affect your firm's DBE standing. The DBE certification of your firm will continue until or unless it is removed by Caltrans.

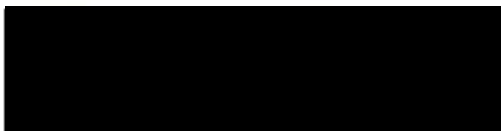
Also, should any changes occur that could affect your certification status prior to receipt of the No Change Declaration Form, such as changes in your firm's name, business/mailling address, ownership, management or control, or failure to meet the applicable business-size standards or personal net worth standard, please notify us immediately. Failure to submit forms and/or change of information will be deemed a failure to cooperate under Section 26.109 of the Regulations.

Caltrans reserves the right to withdraw this certification if at any time it is determined that it was knowingly obtained by false, misleading, or incorrect information. DBE certification is subject to review at any time. The firm thereby consents to the examination of its books, records, and documents by Caltrans.

For information on Caltrans' contracting opportunities, please visit our website at <http://www.dot.ca.gov/hq/esc/oe/>.

Congratulations, and thank you for your continued interest in participating in the DBE Program. I wish you every business success.

Sincerely,



JANICE SALAIS  
Assistant Director  
Office of Business and Economic Opportunity  
Certification Branch

1455 Market Street, 22nd Floor  
San Francisco, California 94103  
415-529-4800 FAX 415-529-4824  
info@sfta.org www.sfta.org

December 5, 2016

Karen Bartlett, Owner (Sole Proprietor)  
KL Bartlett Consulting  
1229 Lakehurst Road  
Livermore, California 94551

Subject: Request for Disadvantaged Business Enterprise Certification

Dear Ms. Bartlett:

Congratulations, your request to be a certified Disadvantaged Business Enterprise (DBE) has been approved as follows:

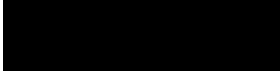
Disadvantaged Business Enterprise Certification #DBE 15-31 Expires: 6/30/2019

This letter serves as proof of certification. Your certification is conditioned upon the continued compliance with program eligibility requirements. Should future circumstances cause you to no longer meet eligibility criteria for either program, you are required to notify this office within 30 days.

In an effort to expand the use of DBEs and LBEs for Transportation Authority-sponsored activities, we will list on our website information about the services you provide; and we will make this information available to interested contractors, as well.

Should you have any questions, please do not hesitate to contact me at 415.522.4828.

Sincerely,



Cynthia Fong  
Deputy Director for Finance and Administration



Plan, Fund, Deliver

COMMISSIONERS

Scott Wiener  
CHAIR

Eric Mar  
VICE CHAIR

John Avalos

Londen Breed

David Campos

Malia Cohen

Mark Farrell

Jane Kim

Aaron Peskin

Katy Tong

Norman Yee

Tilly Chang  
EXECUTIVE DIRECTOR

### 3 Form B: Organizational Conflict of Interests Disclosure Statement

#### Form B: DB Engineering & Consulting USA Inc.

#### CALIFORNIA HIGH-SPEED RAIL AUTHORITY

##### 1. Definition

The Authority's Conflict of Interest Policy defines organizational conflicts of interest as follows:

"Organizational Conflict of Interest" means a circumstance arising out of a Contractor's existing or past activities, business or financial interests, familial relationships, contractual relationships, and/or organizational structure (i.e., parent entities, subsidiaries, affiliates, etc.) that results in (i) impairment or potential impairment of a Contractor's ability to render impartial assistance or advice to the Authority or of its objectivity in performing work for Authority, (ii) an unfair competitive advantage for any Proposer with respect to an Authority procurement; or (iii) a perception or appearance of impropriety with respect to any of the Authority's procurements or contracts or a perception or appearance of unfair competitive advantage with respect to a procurement by the Authority (regardless of whether any such perception is accurate).

##### 2. Disclosure

In the space provided below, and on supplemental sheets as necessary, identify all relevant facts relating to past, present or planned interest(s) of the Proposer and its team (including Proposer, Proposer Team members, and all Subcontractors identified at the time of the submittal of its Proposal, and their respective personnel) which may result, or could be viewed as, an organizational conflict of interest in connection with this RFP.

DB Engineering & Consulting USA Inc. (DB E&C USA) submits that there are no relevant facts relating to past, present or planned interest that may result, or could be viewed, as an organizational conflict of interest in connection with RFP No.: 16-13.

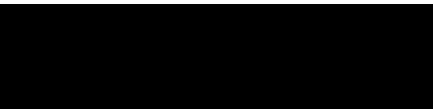
### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.



Signature

Carsten Puls

Printed Name

President

Printed Title

DB Engineering & Consulting USA Inc.

Proposer

## **CALIFORNIA HIGH-SPEED RAIL AUTHORITY**

### **1. Definition**

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### **2. Disclosure**

In the space provided below, and on supplemental sheets as necessary, identify all relevant facts relating to past, present or planned interest(s) of the Proposer and its team (including Proposer, Proposer Team members, and all Subcontractors identified at the time of the submittal of its Proposal, and their respective personnel) which may result, or could be viewed as, an organizational conflict of interest in connection with this RFP.

DB Engineering & Consulting GmbH (DB E&C) submits that there are no relevant facts relating to past, present or planned interest that may result, or could be viewed, as an organizational conflict of interest in connection with RFP No.: 16-13.

### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.



Signature

Oliver Pietz

Printed Name

Executive Director Americas

Printed Title

DB Engineering & Consulting GmbH

Subcontractor

## **CALIFORNIA HIGH-SPEED RAIL AUTHORITY**

### **1. Definition**

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### **2. Disclosure**

In the space provided below, and on supplemental sheets as necessary, identify all relevant facts relating to past, present or planned interest(s) of the Proposer and its team (including Proposer, Proposer Team members, and all Subcontractors identified at the time of the submittal of its Proposal, and their respective personnel) which may result, or could be viewed as, an organizational conflict of interest in connection with this RFP.

Deutsche Bahn AG (DB AG) submits that there are no relevant facts relating to past, present or planned interest that may result, or could be viewed, as an organizational conflict of interest in connection with RFP No.: 16-13.



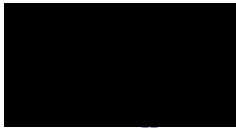
### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

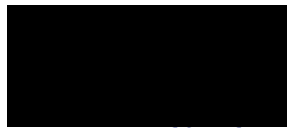
The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.



Signature

Niko Warbanoff

Printed Name



Dr. Jens Gräfer

Head of International Business Relations / International Affairs

Printed Title

Deutsche Bahn AG

Proposer Team

## **CALIFORNIA HIGH-SPEED RAIL AUTHORITY**

### **1. Definition**

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### **2. Disclosure**

In the space provided below, and on supplemental sheets as necessary, identify all relevant facts relating to past, present or planned interest(s) of the Proposer and its team (including Proposer, Proposer Team members, and all Subcontractors identified at the time of the submittal of its Proposal, and their respective personnel) which may result, or could be viewed as, an organizational conflict of interest in connection with this RFP.

Alternate Concepts, Inc. (ACI) submits that there are no relevant facts relating to past, present or planned interest that may result, or could be viewed, as an organizational conflict of interest in connection with RFP No.: 16-13.

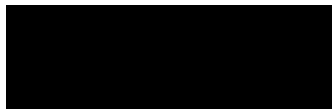
### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.



Signature

James F. O'Leary

Printed Name

President

Printed Title

Alternate Concepts, Inc.

Subcontractor

## CALIFORNIA HIGH-SPEED RAIL AUTHORITY

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### 2. Disclosure

In the space provided below, and on supplemental sheets as necessary, identify all relevant facts relating to past, present or planned interest(s) of the Proposer and its team (including Proposer, Proposer Team members, and all Subcontractors identified at the time of the submittal of its Proposal, and their respective personnel) which may result, or could be viewed as, an organizational conflict of interest in connection with this RFP.

HDR Engineering, Inc. (HDR) has received a formal COI determination, dated February 13, 2017 from the California High-Speed Rail Authority, stating that the two contracts listed below do not create an organizational conflict of interest that would preclude HDR from participating in the Early Train Operator (RFP No. 16-13).

- Project and Construction Management Services for Construction Package 4, Contract No: HSR15-01 as a sub-contractor to HNTB Corporation
- Environmental & Engineering Services on the Palmdale to Burbank Project Section, Contract No: HSR14-42 as a sub-contractor to SENER Engineering and Systems, Inc.

HDR would like to disclose that the firm holds a prime contract with LA Metro for the Link Union Station Project, Contract No. PS24153172.

HDR does not believe that an Organization Conflict exists, but wanted to include the project in this disclosure statement, as our work does interface with the High Speed Rail Project.

### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.

  
Signature

Randy Altshuler  
Printed Name

Senior Vice President  
Printed Title

HDR Engineering, Inc.  
Subcontractor

## **CALIFORNIA HIGH-SPEED RAIL AUTHORITY**

### **1. Definition**

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### **2. Disclosure**

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Raul V. Bravo + Associates Inc. submits that there are no relevant facts relating to past, present or planned interest that may result, or could be viewed, as an organizational conflict of interest in connection with RFP No.: 16-13.

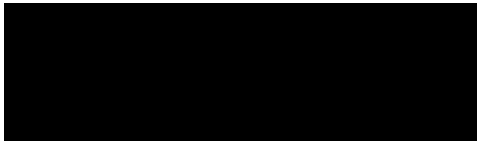
### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.



Signature

Claudio R. Bravo

Printed Name

Vice President

Printed Title

Raul V. Bravo + Associates, Inc.

Subcontractor

## **CALIFORNIA HIGH-SPEED RAIL AUTHORITY**

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FMG Architects submits that there are no relevant facts relating to past, present or planned interest that may result, or could be viewed, as an organizational conflict of interest in connection with RFP No.: 16-13.

FMG Architects is a sub-contractor to HNTB for the environmental document, however, have received no task orders to date. (Environmental and Engineering Services on the San Francisco to San Jose and San Jose to Merced Project Sections).



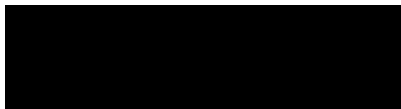
### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.



Signature

Charissa Frank

Printed Name

Principal

Printed Title

FMG Architects

Subcontractor

## **CALIFORNIA HIGH-SPEED RAIL AUTHORITY**

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### **2. Disclosure**

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Pendergast Consulting Group submits that there are no relevant facts relating to past, present or planned interest that may result, or could be viewed, as an organizational conflict of interest in connection with RFP No.: 16-13.

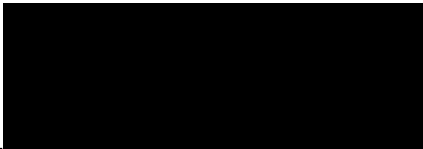
### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.



Signature

Paul Pendergast

Printed Name

President

Printed Title

Pendergast Consulting Group

Subcontractor

## **CALIFORNIA HIGH-SPEED RAIL AUTHORITY**

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### **2. Disclosure**

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Acumen Building Enterprise, Inc. submits that there are no relevant facts relating to past, present or planned interest that may result, or could be viewed, as an organizational conflict of interest in connection with RFP No.: 16-13.

### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.



Signature

Walter E. Allen

Printed Name

President & CEO

Printed Title

Acumen Building Enterprise, Inc.

Subcontractor

## **CALIFORNIA HIGH-SPEED RAIL AUTHORITY**

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### **2. Disclosure**

In the space provided below, and on supplemental sheets as necessary, identify all relevant facts relating to past, present or planned interest(s) of the Proposer and its team (including Proposer, Proposer Team members, and all Subcontractors identified at the time of the submittal of its Proposal, and their respective personnel) which may result, or could be viewed as, an organizational conflict of interest in connection with this RFP.

Sagent Marketing submits that there are no relevant facts relating to past, present or planned interest that may result, or could be viewed, as an organizational conflict of interest in connection with RFP No.: 16-13.

### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.



Signature

Anne Staines

Printed Name

President

Printed Title

Sagent Marketing

Subcontractor

## **CALIFORNIA HIGH-SPEED RAIL AUTHORITY**

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### **2. Disclosure**

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B&G Transportation Group, LLC submits that there are no relevant facts relating to past, present or planned interest that may result, or could be viewed, as an organizational conflict of interest in connection with RFP No.: 16-13.

B&G did submit a request on 7/25/17 for clarification in reference to the California High Speed Rail (CHSR) Request for Proposal (RFP16-3) conflict of interest provisions and receive a favorable response of no conflict of interest from the California High-Speed Rail Authority in a letter dated 8/1/17.



### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.

  
\_\_\_\_\_  
Signature

James T. Brown  
\_\_\_\_\_  
Printed Name

Principal  
\_\_\_\_\_  
Printed Title

B&G Transportation Group, LLC  
\_\_\_\_\_  
Subcontractor

## **CALIFORNIA HIGH-SPEED RAIL AUTHORITY**

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### **2. Disclosure**

In the space provided below, and on supplemental sheets as necessary, identify all relevant facts relating to past, present or planned interest(s) of the Proposer and its team (including Proposer, Proposer Team members, and all Subcontractors identified at the time of the submittal of its Proposal, and their respective personnel) which may result, or could be viewed as, an organizational conflict of interest in connection with this RFP.

Soar Environmental Consulting, Inc. holds a current subcontract in conjunction with Wong + Harris, JV's Agreement with the California High-Speed Rail Authority regarding Project and Construction Management Services on the California High-Speed Rail Authority Project, Agreement No. HSR 11-20. In this Subcontract Agreement, Soar Environmental performs Projects and Construction Management Services on a written Work Order basis. Specifically, Soar Environmental provides administrative assistance and Environmental Oversight Management for the California High-Speed Rail Project, Construction Package 1. While this is not a conflict of interest, Soar Environmental wishes to disclose the fact that the contract is currently being executed.

### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

Soar Environmental Consulting, Inc. does not provide any services related to Early Train Operators on any Construction Packages on the California High Speed Rail Project, and therefore will avoid any organizational conflicts of interests.

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.



Signature

Michael J. Murphy

Printed Name

Principal / CEO

Printed Title

Soar Environmental Consulting, Inc.

Subcontractor

## **CALIFORNIA HIGH-SPEED RAIL AUTHORITY**

### **1. Definition**

The Authority's Conflict of Interest Policy defines organizational conflicts of interest as follows:

"Organizational Conflict of Interest" means a circumstance arising out of a Contractor's existing or past activities, business or financial interests, familial relationships, contractual relationships, and/or organizational structure (i.e., parent entities, subsidiaries, affiliates, etc.) that results in (i) impairment or potential impairment of a Contractor's ability to render impartial assistance or advice to the Authority or of its objectivity in performing work for Authority, (ii) an unfair competitive advantage for any Proposer with respect to an Authority procurement; or (iii) a perception or appearance of impropriety with respect to any of the Authority's procurements or contracts or a perception or appearance of unfair competitive advantage with respect to a procurement by the Authority (regardless of whether any such perception is accurate).

### **2. Disclosure**

In the space provided below, and on supplemental sheets as necessary, identify all relevant facts relating to past, present or planned interest(s) of the Proposer and its team (including Proposer, Proposer Team members, and all Subcontractors identified at the time of the submittal of its Proposal, and their respective personnel) which may result, or could be viewed as, an organizational conflict of interest in connection with this RFP.

KL Bartlett Consulting submits that there are no relevant facts relating to past, present or planned interest that may result, or could be viewed, as an organizational conflict of interest in connection with RFP No.: 16-13.

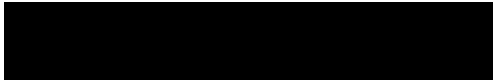
### 3. Explanation

In the space below, and on supplemental sheets as necessary, identify steps that have been or will be taken to avoid or mitigate any organizational conflicts of interest described herein.

N/A

### 4. Certification

The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Organizational Conflicts of Interest Disclosure Statement, other than as disclosed above.



Signature

Karen Bartlett

Printed Name

President

Printed Title

KL Bartlett Consulting

Subcontractor

## 4 Form C: Disabled Veteran Business Enterprise Declaration

### Form C : Soar Environmental Consulting, Inc.

STATE OF CALIFORNIA – DEPARTMENT OF GENERAL SERVICES PROCUREMENT DIVISION

#### DISABLED VETERAN BUSINESS ENTERPRISE DECLARATIONS

STD. 643 (Rev. 5/2006)

**Instructions:** The disabled veteran (DV) owner(s) and DV manager(s) of the Disabled Veteran Business Enterprise (DVBE) must complete this declaration when a DVBE contractor or subcontractor will provide materials, supplies, services or equipment [Military and Veterans Code Section 999.2]. Violations are misdemeanors and punishable by imprisonment or fine and violators are liable for civil penalties. All signatures are made under penalty of perjury.

##### SECTION 1

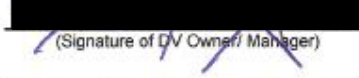
Name of certified DVBE: Soar Environmental Consulting, Inc. DVBE Ref. Number: 1786933  
Description (materials/supplies/services/equipment proposed): Environmental Consulting  
Solicitation/Contract Number: HSR 16-13 SCPRS Ref. Number: \_\_\_\_\_  
(FOR STATE USE ONLY)

##### SECTION 2

**APPLIES TO ALL DVBEs. Check only one box in Section 2 and provide original signatures.**

- ☒ I (we) declare that the DVBE is not a broker or agent, as defined in Military and Veterans Code Section 999.2 (b), of materials, supplies, services or equipment listed above. Also, complete Section 3 below if renting equipment.
- ☐ Pursuant to Military and Veterans Code Section 999.2 (f), I (we) declare that the DVBE is a broker or agent for the principal(s) listed below or on an attached sheet(s). (Pursuant to Military and Veterans Code 999.2 (e), State funds expended for equipment rented from equipment brokers pursuant to contracts awarded under this section shall not be credited toward the 3-percent DVBE participation goal.)

All DV owners and managers of the DVBE (attach additional pages with sufficient signature blocks for each person to sign):

<u>Michael J. Murphy</u> (Printed Name of DV Owner/Manager)	 (Signature of DV Owner/Manager)	<u>16 AUG 17</u> (Date Signed)
_____ (Printed Name of DV Owner/Manager)	_____ (Signature of DV Owner/Manager)	_____ (Date Signed)

Firm/Principal for whom the DVBE is acting as a broker or agent: \_\_\_\_\_  
(If more than one firm, list on extra sheets.) (Print or Type Name)

Firm/Principal Phone: 559.547.8884 Address: 1401 Fulton Street, Ste., 918, Fresno, CA 93721

##### SECTION 3

**APPLIES TO ALL DVBEs THAT RENT EQUIPMENT AND DECLARE THE DVBE IS NOT A BROKER.**

- ☒ Pursuant to Military and Veterans Code Section 999.2 (c), (d) and (g), I am (we are) the DV(s) with at least 51% ownership of the DVBE, or a DV manager(s) of the DVBE. The DVBE maintains certification requirements in accordance with Military and Veterans Code Section 999 et. seq.
- ☐ The undersigned owner(s) own(s) at least 51% of the quantity and value of each piece of equipment that will be rented for use in the contract identified above. I (we), the DV owners of the equipment, have submitted to the administering agency my (our) personal federal tax return(s) at time of certification and annually thereafter as defined in Military and Veterans Code 999.2, subsections (c) and (g). Failure by the disabled veteran equipment owner(s) to submit their personal federal tax return(s) to the administering agency as defined in Military and Veterans Code 999.2, subsections (c) and (g), will result in the DVBE being deemed an equipment broker.

Disabled Veteran Owner(s) of the DVBE (attach additional pages with signature blocks for each person to sign):

<u>Michael J. Murphy</u> (Printed Name)	 (Signature)	<u>16 AUG 17</u> (Date Signed)
<u>1401 Fulton St., Ste. 918 Fresno, CA 93721</u> (Address of Owner)	<u>559.547.8884</u> (Telephone)	 (Tax Identification Number of Owner)

Disabled Veteran Manager(s) of the DVBE (attach additional pages with sufficient signature blocks for each person to sign):

<u>Michael J. Murphy</u> (Printed Name of DV Manager)	_____ (Signature of DV Manager)	_____ (Date Signed)
--	------------------------------------	------------------------

Page \_\_\_\_ of \_\_\_\_

## 5 Cert. 1: CCC-307 and STD 204

### **CERTIFICATION**

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective Contractor to the clause(s) listed below. This certification is made under the laws of the State of California.

Contractor/Bidder Firm Name (Printed)		Federal ID Number
DB Engineering & Consulting USA Inc. F/K/A DB International USA Inc.		██████████
By (Authorized Signature)		
██		
Printed Name and Title of Person Signing		
Carsten Puls, President		
Date Executed	Executed in the County and State of	
August 8, 2017	Westchester, New York	

### **CONTRACTOR CERTIFICATION CLAUSES**

1. STATEMENT OF COMPLIANCE: Contractor has, unless exempted, complied with the nondiscrimination program requirements. (Gov. Code §12990 (a-f) and CCR, Title 2, Section 8103) (Not applicable to public entities.)

2. DRUG-FREE WORKPLACE REQUIREMENTS: Contractor will comply with the requirements of the Drug-Free Workplace Act of 1990 and will provide a drug-free workplace by taking the following actions:

a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.

b. Establish a Drug-Free Awareness Program to inform employees about:

1) the dangers of drug abuse in the workplace;

2) the person's or organization's policy of maintaining a drug-free workplace;

3) any available counseling, rehabilitation and employee assistance programs; and,

4) penalties that may be imposed upon employees for drug abuse violations.

c. Every employee who works on the proposed Agreement will:

- 1) receive a copy of the company's drug-free workplace policy statement; and,
- 2) agree to abide by the terms of the company's statement as a condition of employment on the Agreement.

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and Contractor may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the Contractor has made false certification, or violated the certification by failing to carry out the requirements as noted above. (Gov. Code §8350 et seq.)

3. NATIONAL LABOR RELATIONS BOARD CERTIFICATION: Contractor certifies that no more than one (1) final unappealable finding of contempt of court by a Federal court has been issued against Contractor within the immediately preceding two-year period because of Contractor's failure to comply with an order of a Federal court, which orders Contractor to comply with an order of the National Labor Relations Board. (Pub. Contract Code §10296) (Not applicable to public entities.)

4. CONTRACTS FOR LEGAL SERVICES \$50,000 OR MORE- PRO BONO REQUIREMENT: Contractor hereby certifies that contractor will comply with the requirements of Section 6072 of the Business and Professions Code, effective January 1, 2003.

Contractor agrees to make a good faith effort to provide a minimum number of hours of pro bono legal services during each year of the contract equal to the lessor of 30 multiplied by the number of full time attorneys in the firm's offices in the State, with the number of hours prorated on an actual day basis for any contract period of less than a full year or 10% of its contract with the State.

Failure to make a good faith effort may be cause for non-renewal of a state contract for legal services, and may be taken into account when determining the award of future contracts with the State for legal services.

5. EXPATRIATE CORPORATIONS: Contractor hereby declares that it is not an expatriate corporation or subsidiary of an expatriate corporation within the meaning of Public Contract Code Section 10286 and 10286.1, and is eligible to contract with the State of California.

6. SWEATFREE CODE OF CONDUCT:

a. All Contractors contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, materials, or supplies furnished to the state pursuant to the contract have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal



sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The contractor further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set forth on the California Department of Industrial Relations website located at [www.dir.ca.gov](http://www.dir.ca.gov), and Public Contract Code Section 6108.

b. The contractor agrees to cooperate fully in providing reasonable access to the contractor's records, documents, agents or employees, or premises if reasonably required by authorized officials of the contracting agency, the Department of Industrial Relations, or the Department of Justice to determine the contractor's compliance with the requirements under paragraph (a).

7. DOMESTIC PARTNERS: For contracts over \$100,000 executed or amended after January 1, 2007, the contractor certifies that contractor is in compliance with Public Contract Code section 10295.3.

## **DOING BUSINESS WITH THE STATE OF CALIFORNIA**

The following laws apply to persons or entities doing business with the State of California.

1. CONFLICT OF INTEREST: Contractor needs to be aware of the following provisions regarding current or former state employees. If Contractor has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.

Current State Employees (Pub. Contract Code §10410):

1). No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.

2). No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

Former State Employees (Pub. Contract Code §10411):

1). For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.

2). For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her leaving state service.

If Contractor violates any provisions of above paragraphs, such action by Contractor shall render this Agreement void. (Pub. Contract Code §10420)

Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (Pub. Contract Code §10430 (e))

2. LABOR CODE/WORKERS' COMPENSATION: Contractor needs to be aware of the provisions which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions, and Contractor affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)

3. AMERICANS WITH DISABILITIES ACT: Contractor assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. 12101 et seq.)

4. CONTRACTOR NAME CHANGE: An amendment is required to change the Contractor's name as listed on this Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.

5. CORPORATE QUALIFICATIONS TO DO BUSINESS IN CALIFORNIA:

a. When agreements are to be performed in the state by corporations, the contracting agencies will be verifying that the contractor is currently qualified to do business in California in order to ensure that all obligations due to the state are fulfilled.

b. "Doing business" is defined in R&TC Section 23101 as actively engaging in any transaction for the purpose of financial or pecuniary gain or profit. Although there are some statutory exceptions to taxation, rarely will a corporate contractor performing within the state not be subject to the franchise tax.

c. Both domestic and foreign corporations (those incorporated outside of California) must be in good standing in order to be qualified to do business in California. Agencies will determine whether a corporation is in good standing by calling the Office of the Secretary of State.

6. RESOLUTION: A county, city, district, or other local public body must provide the State with a copy of a resolution, order, motion, or ordinance of the local governing body which by law has authority to enter into an agreement, authorizing execution of the agreement.

7. AIR OR WATER POLLUTION VIOLATION: Under the State laws, the Contractor shall not be: (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district; (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.

8. PAYEE DATA RECORD FORM STD. 204: This form must be completed by all contractors that are not another state agency or other governmental entity.

**PAYEE DATA RECORD**

(Required when receiving payment from the State of California in lieu of IRS W-9 or W-7)

STD 204 (Rev. 4/2017)

<b>1</b>	<b>INSTRUCTIONS:</b> Type or print the information. Complete all information on this form. Sign, date, and return to the state agency (department/office) address shown in Box 6. Prompt return of this <b>fully completed</b> form will prevent delays when processing payments. Information provided in this form will be used by California state agencies to prepare Information Returns (Form 1099). See next page for more information and Privacy Statement. <b>NOTE:</b> Governmental entities, i.e. federal, state, and local (including school districts), are not required to submit this form.					
<b>2</b>	<b>PAYEE'S LEGAL BUSINESS NAME</b> (As shown on your income tax return) DB Engineering & Consulting USA Inc. F/K/A DB International USA, Inc. <b>SOLE PROPRIETOR OR INDIVIDUAL— ENTER NAME AS SHOWN ON SSN (Last, First, M.I.)</b> <b>E-MAIL ADDRESS</b> Carsten.Puls@deutschebahn.com <b>MAILING ADDRESS</b> <b>BUSINESS ADDRESS</b> 120 White Plains Road 120 White Plains Road <b>CITY</b> <b>STATE</b> <b>ZIP CODE</b> <b>CITY</b> <b>STATE</b> <b>ZIP CODE</b> Tarrytown NY 10591 Tarrytown NY 10591					
<b>3</b>  <b>PAYEE ENTITY TYPE</b>  <b>CHECK ONE BOX ONLY</b>	<b>ENTER FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEIN):</b> [REDACTED] <input type="checkbox"/> <b>PARTNERSHIP</b> <input type="checkbox"/> <b>ESTATE OR TRUST</b> <input type="checkbox"/> <b>SOLE PROPRIETOR OR INDIVIDUAL</b> <b>CORPORATION:</b> <input type="radio"/> <b>MEDICAL</b> (e.g., dentistry, psychotherapy, chiropractic, etc.) <input type="radio"/> <b>LEGAL</b> (e.g., attorney services) <input type="radio"/> <b>EXEMPT</b> (nonprofit) <input checked="" type="radio"/> <b>ALL OTHERS</b> Enter social security number (SSN) or Individual taxpayer identification number (ITIN) [REDACTED] (SSN required by authority of California Revenue and Tax Code sections 18646 and 18661)					<b>NOTE:</b> Payment will not be processed without an accompanying taxpayer identification number.
<b>4</b>  <b>PAYEE RESIDENCY STATUS</b>	<input checked="" type="checkbox"/> <b>CALIFORNIA RESIDENT</b> - Qualified to do business in California or maintains a permanent place of business in California. <input type="checkbox"/> <b>CALIFORNIA NON RESIDENT</b> (see next page for more information) - Payments to nonresidents for services may be subject to state income tax withholding. <input type="radio"/> No services performed in California. <input type="radio"/> Copy of Franchise Tax Board waiver of state withholding attached.					
<b>5</b>	I hereby certify under penalty of perjury that the information provided on this document is true and correct. Should my residency status change, I will promptly notify the state agency below. <b>AUTHORIZED PAYEE REPRESENTATIVE'S NAME</b> (Type or Print) <b>TITLE</b> <b>TELEPHONE</b> (include area code) Eugene Heyward CFO 914-366-7237 <b>SIGNATURE</b> <b>DATE</b> <b>E-MAIL ADDRESS</b> [REDACTED] 8/8/2017 eheyward@dbusholding.com					
<b>6</b>	Please return completed form to: <b>DEPARTMENT/OFFICE</b> <b>UNIT/SECTION</b> <b>MAILING ADDRESS</b> <b>TELEPHONE</b> (include area code) <b>FAX</b> <b>CITY</b> <b>STATE</b> <b>ZIP CODE</b> <b>E-MAIL ADDRESS</b>					

## 6 Cert. 2: Proposer's Overall Project Small Business Goal Commitment Affidavit

### AFFIDAVIT

STATE OF New York §

§

§

COUNTY OF Westchester §

The undersigned, being first duly sworn, deposes and says that:

Carsten Puls

(Contact Name)

is the Official Representative of

DB Engineering & Consulting USA Inc.

(Proposer's Name)

the Proposer submitting the foregoing Proposal.

*(If the Proposer has not yet been formed, modify this form as appropriate to include the names of all of the Principal Participants and to indicate that the Official Representative is signing the form on behalf of all of the Principal Participants.)*

The Proposer has carefully examined all documents that form this Request for Proposals and is aware that Authority has established an overall project Small Business goal of 30 percent, inclusive of Small Businesses, Disadvantaged Business Enterprises, Disabled Veteran Business Enterprises and Microbusinesses for Early Train Operator, in conformance with Executive Order S-02-06, Title VI of the Civil Rights Act of 1964, and related statutes and Best Practices of 49 C.F.R. Part 26, as set forth in the Authority's Small and Disadvantaged Business Enterprise Program.

The Proposer will commit to meet or exceed the overall project small business goal of 30 percent, consistent with the Proposer's approved performance plan developed in accordance with the Authority's SB/DBE Program Plan.



Signature

Carsten Puls

Printed Name

President

Title

## 7 Cert. 3: Iran Contracting Act Certification

Section 2200 *et seq.* of the California Public Contract Code prohibits a person from submitting a proposal for a contract with a public entity for goods and services of \$1,000,000 or more if that person is identified on a list created by the Department of General Services (DGS) pursuant to Section 2203(b) of the California Public Contract Code. The list will include persons providing goods or services of \$20,000,000 or more in the energy sector of Iran and financial institutions that extend \$20,000,000 or more in credit to a person that will use the credit to provide goods or services in the energy sector in Iran. DGS is required to provide notification to each person that it intends to include on the list at least 90 days before adding the person to the list.

In accordance with Section 2204 of the California Public Contract Code, the undersigned hereby certifies that


It is not identified on a list created pursuant to Section 2203(b) of the California Public Contract Code as a person engaging in investment activities in Iran described in Section 2202.5(a), or as a person described in Section 2202.5(b), as applicable; or

It is on such a list but has received permission pursuant to Section 2203(c) or (d) to submit a proposal in response to this RFP.

Note: Providing a false certification may result in civil penalties and sanctions.

Date: August 8, 2017

Entity: DB Engineering & Consulting USA Inc.

Signature:  \_\_\_\_\_

Printed Name: Carsten Puls

Title: President

*Note: Duplicate this form so that it is signed by the Proposer and all joint venture members of the Proposer.*

## 8 Cert. 4: Darfur Contracting Act Certification

**PLEASE READ THE DIRECTIONS OF THIS CERTIFICATION CAREFULLY. DO NOT COMPLETE THE SIGNATURE BOX UNLESS YOU HAVE INITIALED PARAGRAPH No. 3.**

Pursuant to Public Contract Code section 10478, if a Proposer currently or within the previous three (3) years has had business activities or other operations outside of the United States, it must certify that it is not a “scrutinized” company as defined in Public Contract Code section 10476.

Therefore, to be eligible to submit a bid or proposal, please complete only one of the following three paragraphs (via initials for Paragraph No. 1 or Paragraph No. 2, or via initials and certification for Paragraph No. 3):

1. CP We do not currently have, or we have not had within the previous three years,  
Initials business activities or other operations outside of the United States.  
OR
2. \_\_\_\_\_ We are a scrutinized company as defined in Public Contract Code section  
Initials 10476, but we have received written permission from the Department of General Services (DGS) to submit a bid or proposal pursuant to Public Contract Code section 10477(b). A copy of the written permission from DGS is included with our bid or proposal.  
OR
3. \_\_\_\_\_ We currently have, or we have had within the previous three years, business  
Initials activities or other operations outside of the United States, but we certify below that we are not a scrutinized company below as defined in Public Contract Code section 10476.

### **CERTIFICATION for Paragraph No. 3**

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the Proposer to the clause listed above in Paragraph No. 3. This certification is made under the laws of the State of California.

Proposer Name (Printed) DB Engineering & Consulting USA Inc. F/K/A DB International USA Inc.		Federal ID Number [REDACTED]
By (Authorized Signature) [REDACTED]		
Printed Name and Title of Person Signing Carsten Puls, President		
Date Executed August 8, 2017	Executed in the County and State of Westchester, New York	

## 9 Cert. 5: Major Participant Certification Regarding Disbarment, Suspension, Ineligibility, and Voluntary Exclusion Certification

### Cert.5: DB Engineering & Consulting USA Inc.

#### Primary Covered Transactions

This certification applies to the offer submitted in response to this solicitation, and will be a continuing requirement throughout the term of the Agreement.

In accordance with the provisions of 2 C.F.R. Part 180, the Proposer certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, State, or local) with commission of any of the offenses enumerated in item b of this certification.
4. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.


(Mark one, below, with an "x")

☒ Certify to the above

☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.

The Proposer shall require any Subcontractor, at any tier, whose contract is equal to or greater than \$25,000 to complete this certification form and retain this requirement throughout the term of the contract. A copy of a certification, for Subcontractors, shall be furnished by the Contracting Officer upon request (See Certification 6).

  
\_\_\_\_\_  
Signature of Team Representative  
Carsten Puls  
\_\_\_\_\_  
Printed Name  
President  
\_\_\_\_\_  
Title  
August 8, 2017  
\_\_\_\_\_  
Date

**Organization Name,  
Address, and Telephone**

DB Engineering & Consulting USA Inc.  
120 White Plains Road, Tarrytown,  
New York 10591,  
914-366-7237



## 10 Cert. 6: Subcontractor Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion Certification

### Cert.6: DB Engineering & Consulting GmbH

#### Lower Tier Covered Transactions

This certification applies to a subcontract at any tier expected to equal or exceed \$25,000, and will be a continuing requirement throughout the term of the Agreement.

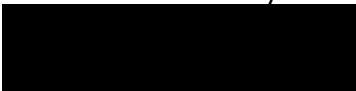
In accordance with the provisions of 2 C.F.R. Part 180, the prospective lower-tier participant (Subcontractor) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, State, or local) with commission of any of the offenses enumerated in item b of this certification.
4. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.

(Mark one, below, with an "x")

☒ Certify to the above      ☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.

  
\_\_\_\_\_  
Signature of Team Representative  
  
Oliver Pietz  
\_\_\_\_\_  
Printed Name  
  
Executive Director Americas  
\_\_\_\_\_  
Title  
August 30, 2017  
\_\_\_\_\_  
Date

**Organization Name,  
Address, and Telephone**

DB Engineering & Consulting GmbH,  
EUREF-Campus 14,  
Torgauer Straße 12-15,  
10829 Berlin,  
+49 30 297-59310

**\* Statement**

In addition to the above certification, in the interest of transparency, we wish to draw your attention to the fact that in 2015 DB Engineering & Consulting GmbH (which then had the company name of DB International GmbH ("DBI GmbH")) was fined by the magistrate court of Frankfurt Main according to German Administrative Offences Act (§ 30 Ordnungswidrigkeitengesetz) for failing to meet corporate responsibilities in respect of the actions of two former employees of DBI GmbH. These two former employees were convicted for bribery in accordance with the German Criminal Code (§ 334 Strafgesetzbuch) by means of a penalty order for undue payments or undue benefits made to foreign decision makers in Greece, Libya and Thailand in the years 2003 to 2008. DB Engineering & Consulting GmbH as part of state-owned DB Group now has in place an effective Compliance Management System (CMS), including measures and procedures to prevent undue practices, bribery and other white collar crime. At the request of the Authority we will happy to provide a description of the CMS.

## Cert.6: Alternate Concepts, Inc.

### Lower Tier Covered Transactions

This certification applies to a subcontract at any tier expected to equal or exceed \$25,000, and will be a continuing requirement throughout the term of the Agreement.

In accordance with the provisions of 2 C.F.R. Part 180, the prospective lower-tier participant (Subcontractor) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
  2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
  3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, State, or local) with commission of any of the offenses enumerated in item b of this certification.
1. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.

(Mark one, below, with an "x")

☒ Certify to the above      ☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.



Signature of Team Representative

James F. O'Leary

Printed Name

President

Title

August 30, 2017

Date

**Organization Name,  
Address, and Telephone**

Alternate Concepts, Inc.,  
One Liberty Square,  
Suite 430,  
Boston, MA 02109,  
+1 617 523 3131

## Cert.6: HDR Engineering, Inc.

### Lower Tier Covered Transactions

This certification applies to a subcontract at any tier expected to equal or exceed \$25,000, and will be a continuing requirement throughout the term of the Agreement.


In accordance with the provisions of 2 C.F.R. Part 180, the prospective lower-tier participant (Subcontractor) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, State, or local) with commission of any of the offenses enumerated in item b of this certification.
4. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.

(Mark one, below, with an "x")

☒ Certify to the above      ☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.

  
\_\_\_\_\_  
Signature of Team Representative

Randy Altshuler  
\_\_\_\_\_  
Printed Name

Senior Vice President  
\_\_\_\_\_  
Title

August 8, 2017  
\_\_\_\_\_  
Date

**Organization Name,  
Address, and Telephone**

HDR Engineering, Inc.,  
2379 Gateway Oaks Drive, #200  
Sacramento, CA 95833  
(916) 679-8860

## Cert.6: Raul V.Bravo + Associates, Inc.

### Lower Tier Covered Transactions

This certification applies to a subcontract at any tier expected to equal or exceed \$25,000, and will be a continuing requirement throughout the term of the Agreement.

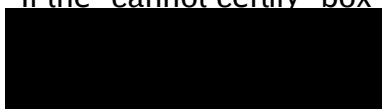
In accordance with the provisions of 2 C.F.R. Part 180, the prospective lower-tier participant (Subcontractor) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
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4. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.

(Mark one, below, with an "x")

☒ Certify to the above      ☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.



Signature of Team Representative

Claudio R. Bravo

Printed Name

Vice President

Title

August 30, 2017

Date

#### Organization Name, Address, and Telephone

Raul V. Bravo + Associates, Inc.  
1889 Preston White Drive, Suite 202  
Reston, VA 20191  
703-326-9092

## Cert.6: FMG Architects

### Lower Tier Covered Transactions

This certification applies to a subcontract at any tier expected to equal or exceed \$25,000, and will be a continuing requirement throughout the term of the Agreement.

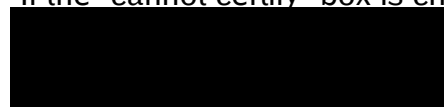
In accordance with the provisions of 2 C.F.R. Part 180, the prospective lower-tier participant (Subcontractor) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, State, or local) with commission of any of the offenses enumerated in item b of this certification.
4. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.

(Mark one, below, with an "x")

☒ Certify to the above      ☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.



Signature of Team Representative

Charissa Frank

Printed Name

Principal

Title

August 30, 2017

Date

**Organization Name,  
Address, and Telephone**

FMG Architects  
330 15<sup>th</sup> Street  
Oakland, CA 94612  
(510) 465-8700

## Cert.6: Pendergast Consulting Group

### Lower Tier Covered Transactions

This certification applies to a subcontract at any tier expected to equal or exceed \$25,000, and will be a continuing requirement throughout the term of the Agreement.

In accordance with the provisions of 2 C.F.R. Part 180, the prospective lower-tier participant (Subcontractor) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, State, or local) with commission of any of the offenses enumerated in item b of this certification.
4. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.

(Mark one, below, with an "x")

☒ Certify to the above      ☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.

[Redacted Signature]

Signature of Team Representative

Paul Pendergast

Printed Name

President

Title

August 8, 2017

Date

#### Organization Name, Address, and Telephone

Pendergast Consulting Group,  
1 Avenue of the Palms Avenue  
Suite 304  
San Francisco, CA 94130  
415-621-0600

## Cert.6: Acumen Building Enterprise, Inc.

### Lower Tier Covered Transactions

This certification applies to a subcontract at any tier expected to equal or exceed \$25,000, and will be a continuing requirement throughout the term of the Agreement.

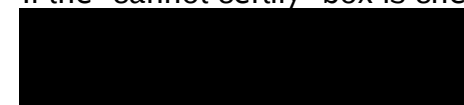
In accordance with the provisions of 2 C.F.R. Part 180, the prospective lower-tier participant (Subcontractor) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, State, or local) with commission of any of the offenses enumerated in item b of this certification.
4. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.

(Mark one, below, with an "x")

☒ Certify to the above      ☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.



Signature of Team Representative

Walter E. Allen

Printed Name

President & CEO

Title

August 30, 2017

Date

**Organization Name,  
Address, and Telephone**

Acumen Building Enterprise, Inc.,  
7770 Pardee Lane, Suite 200  
Oakland, CA 94621-1490



## Cert.6: Sagent Marketing

### Lower Tier Covered Transactions

This certification applies to a subcontract at any tier expected to equal or exceed \$25,000, and will be a continuing requirement throughout the term of the Agreement.

In accordance with the provisions of 2 C.F.R. Part 180, the prospective lower-tier participant (Subcontractor) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, State, or local) with commission of any of the offenses enumerated in item b of this certification.
4. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.

(Mark one, below, with an "x")

☒ Certify to the above      ☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.

  
Signature of Team Representative

Anne Staines  
Printed Name

President  
Title

August 30, 2017  
Date

**Organization Name,  
Address, and Telephone**

Sagent  
2215 21<sup>st</sup> Street  
Sacramento, CA 95818  
916-359-8316

## Cert.6: B&G Transportation Group, LLC

### Lower Tier Covered Transactions

This certification applies to a subcontract at any tier expected to equal or exceed \$25,000, and will be a continuing requirement throughout the term of the Agreement.

In accordance with the provisions of 2 C.F.R. Part 180, the prospective lower-tier participant (Subcontractor) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, State, or local) with commission of any of the offenses enumerated in item b of this certification.
4. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.

(Mark one, below, with an "x")

☒ Certify to the above      ☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.

<div><div></div><div>Signature of Team Representative</div><div><u>James T. Brown</u></div><div>Printed Name</div><div><u>Principal</u></div><div>Title</div><div><u>August 30, 2017</u></div><div>Date</div></div>	<div><b>Organization Name, Address, and Telephone</b></div> <div>B&amp;G Transportation Group, LLC, 1025 Park Place - Suite 408, San Mateo, CA 94403 650-288-5070</div>
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## Cert.6: Soar Environmental Consulting, Inc.

### Lower Tier Covered Transactions

This certification applies to a subcontract at any tier expected to equal or exceed \$25,000, and will be a continuing requirement throughout the term of the Agreement.


In accordance with the provisions of 2 C.F.R. Part 180, the prospective lower-tier participant (Subcontractor) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, State, or local) with commission of any of the offenses enumerated in item b of this certification.
4. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.

(Mark one, below, with an "x")

☒ Certify to the above      ☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.

  
Signature of Team Representative

Michael J. Murphy  
Printed Name

Principal/CEO  
Title

August 30, 2017  
Date

**Organization Name,  
Address, and Telephone**

Soar Environmental Consulting, Inc.  
1401 Fulton Street, Suite 918  
Fresno, CA 93721  
559.547.8884

## Cert.6: KL Bartlett Consulting

### Lower Tier Covered Transactions

This certification applies to a subcontract at any tier expected to equal or exceed \$25,000, and will be a continuing requirement throughout the term of the Agreement.

In accordance with the provisions of 2 C.F.R. Part 180, the prospective lower-tier participant (Subcontractor) certifies to the best of its knowledge and belief, that it and its principals:

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2. Have not within a 3-year period preceding this offer been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction; violation of federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, State, or local) with commission of any of the offenses enumerated in item b of this certification.
4. Have not within a 3-year period preceding this offer had one or more public transactions (federal, State, or local) terminated for cause or default.

(Mark one, below, with an "x")

☒ Certify to the above      ☐ Cannot certify to the above.

If the "cannot certify" box is checked, attach an explanation of the reasons.

<div><div></div><div>Signature of Team Representative</div><div><u>Karen Bartlett</u> Printed Name</div><div><u>President</u> Title</div><div><u>August 30, 2017</u> Date</div></div>	<div><b>Organization Name, Address, and Telephone</b></div> <div>KL Bartlett Consulting 1229 Lakehurst Road, Livermore, CA 94551 (925) 597-8363</div>
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## 11 Cert. 7: Non-Collusion Affidavit

State of New York §  
§  
County of Westchester §  
§

The undersigned declares:

I am the President of DB Engineering & Consulting USA Inc.  
(Position / Title) (Company)

The party submitting the foregoing Proposal, and that the Proposal is:

- NOT made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation
- Genuine and NOT collusive or a sham.

That the Proposer has NOT directly or indirectly induced or solicited any other Proposer to:

- Put in a false or sham Proposal; and
- Colluded, conspired, connived or agreed with any Proposer or anyone else to put in a sham Proposal or that anyone shall refrain from bidding.

That the Proposer has NOT, in any manner directly or indirectly, sought by agreement, communication or conference with anyone to:

- Fix the Cost proposal of the Proposer or any other Proposer, or
- Fix any overhead, profit, or cost element, or that of any other Proposer, or
- Secure any advantage against the public body awarding the contract or anyone interested in the proposed contract.

That all statements contained in the Proposal are true.

The Proposer has not and will not, directly or indirectly, for the purposes of effectuating a collusive or sham negotiation, submitted his or her schedule of rates or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, for payment to any corporation, partnership, company, association, organization, bid depository, or any member or agent thereof.

I have the full power to execute, and do execute this declaration on behalf of

DB Engineering & Consulting USA Inc.

(Proposer)

I declare under penalty of perjury under the laws of the State of California foregoing is true and correct and that this declaration executed on 8 day  
August, 2017 at Tarrytown, New York.  
City) (State)

Signature of Affiant

## 12 Cert. 8: Equal Employment Opportunity Certification

### Cert.8: DB Engineering & Consulting USA Inc.

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of DB Engineering & Consulting USA Inc. that:

DB Engineering & Consulting USA Inc.

(Name of entity making certification)

Check one of the following boxes:

- ☐ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☒ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☒ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☐ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

President

Date: \_\_\_\_\_

August 8, 2017

If not the Proposer, relationship to the Proposer: \_\_\_\_\_

## Cert.8: DB Engineering & Consulting GmbH

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of DB Engineering & Consulting GmbH that:

DB Engineering & Consulting GmbH  
(Name of entity making certification)

Check one of the following boxes:

- ☐ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☒ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☒ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☐ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature:



Title:

Executive Director Americas

Date:

August 30, 2017

If not the Proposer, relationship to the Proposer:

Subcontractor

### Cert.8: Alternate Concepts, Inc.

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of Alternate Concepts, Inc that:


Alternate Concepts, Inc.  
(Name of entity making certification)

Check one of the following boxes:

- ☐ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☒ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☐ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☒ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature: 

Title: President

Date: August 30, 2017

If not the Proposer, relationship to the Proposer: Subcontractor



### Cert.8: HDR Engineering, Inc.

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of HDR Engineering, Inc. that:

HDR Engineering, Inc.  
(Name of entity making certification)

Check one of the following boxes:

- ☒ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☐ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☐ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☒ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature: \_\_\_\_\_



Title: Senior Vice President

Date: August 8, 2017

If not the Proposer, relationship to the Proposer: Subcontractor

**Cert.8: Raul V. Bravo + Associates Inc.**

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of Raul V.Bravo + Associates, Inc. that:

Raul V.Bravo + Associates, Inc.  
(Name of entity making certification)

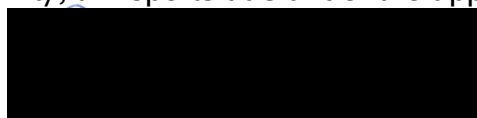
Check one of the following boxes:

- ☒ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☐ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☐ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☒ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature:



Title:

Vice President

Date:

August 30, 2017

If not the Proposer, relationship to the Proposer: Subcontractor

## Cert.8: FMG Architects

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of FMG Architects that:

FMG Architects

(Name of entity making certification)

Check one of the following boxes:

- ☒ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☐ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☒ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☐ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature:



Title:

Principal

Date:

August 30, 2017

If not the Proposer, relationship to the Proposer:

Subcontractor

## Cert.8: Pendergast Consulting Group

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of Pendergast Consulting Group that:

Pendergast Consulting Group  
(Name of entity making certification)

Check one of the following boxes:

- ☒ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☐ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☐ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☒ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature:



Title:

Principal

Date:

August 8, 2017

If not the Proposer, relationship to the Proposer: Subcontractor

### Cert.8: Acumen Building Enterprise, Inc.

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of Acumen Building Enterprise, Inc. that:

Acumen Building Enterprise, Inc.  
(Name of entity making certification)

Check one of the following boxes:

- ☐ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☒ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☐ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☒ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature: \_\_\_\_\_

Title: President & CEO

Date: August 30, 2017

If not the Proposer, relationship to the Proposer: Subcontractor

### Cert.8: Sagent Marketing

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of Sagent that:

ProProse LLC dba Sagent  
(Name of entity making certification)

Check one of the following boxes:

- ☐ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☒ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☒ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☐ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature:



Title:

President

Date:

August 30, 2017

If not the Proposer, relationship to the Proposer: Subcontractor

### Cert.8: B&G Transportation Group, LLC

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of B&G Transportation Group, LLC that:

B&G Transportation Group, LLC  
(Name of entity making certification)

Check one of the following boxes:

- ☐ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☒ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☒ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☐ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature:



Title:

Principal

Date:

August 30, 2017

If not the Proposer, relationship to the Proposer:

Subcontractor

**Cert.8: Soar Environmental Consulting, Inc.**

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of Soar Environmental Consulting, Inc. that:

Soar Environmental Consulting, Inc.

(Name of entity making certification)

Check one of the following boxes:

- ☐ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☒ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☒ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☐ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature:



Title:

Principal / CEO

Date:

August 30, 2017

If not the Proposer, relationship to the Proposer: Subcontractor



### Cert.8: KL Bartlett Consulting

To be executed by the Proposer, all joint venture members of the Proposer, and all Subcontractors.

The undersigned certifies on behalf of KL Bartlett Consulting that:

KL Bartlett Consulting  
(Name of entity making certification)

Check one of the following boxes:

- ☐ It has developed and has on file at each establishment affirmative action programs pursuant to 41 C.F.R. Part 60-2 (Affirmative Action Programs).
- ☒ It is not subject to the requirements to develop an affirmative action program under 41 C.F.R. Part 60-2 (Affirmative Action Programs).

Check one of the following boxes:

- ☒ It has not participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114 or 11246.
- ☐ It has participated in a previous contract or subcontract subject to the equal opportunity clause described in Executive Orders 10925, 11114, or 11246, and, where required, it has filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Signature:



Title:

President

Date:

August 30, 2017

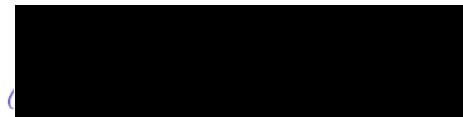
If not the Proposer, relationship to the Proposer:

Subcontractor

### 13 Cert. 9: Non-Discrimination Certification

#### Cert.9: DB Engineering & Consulting USA Inc.

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.



Signature of Person Certifying

Carsten Puls

Printed Name

President

Title

August 8, 2017

Date

**Organization Name,  
Address, and Telephone**

DB Engineering & Consulting USA Inc.  
120 White Plains Road, Tarrytown,  
New York 10591,  
914-366-7237

## Cert.9: DB Engineering & Consulting GmbH

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.



Signature of Person Certifying

Oliver Pietz

Printed Name

Executive Director Americas

Title

August 30, 2017

Date

### Organization Name, Address, and Telephone

DB Engineering & Consulting GmbH,  
EUREF-Campus 14,  
Torgauer Straße 12-15,  
10829 Berlin,  
+49 30 297-59310

### Cert.9: Alternate Concepts, Inc.

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.



Signature of Person Certifying

James F. O'Leary

Printed Name

President

Title

August 30, 2017

Date

**Organization Name,  
Address, and Telephone**

Alternate Concepts, Inc.,  
One Liberty Square,  
Suite 430,  
Boston, MA 02109,  
+1 617 523 3131

**Cert.9: HDR Engineering, Inc.**

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.

<div><div></div><div>Signature of Person Certifying</div><div>Randy Altshuler</div><div>Printed Name</div><div>Senior Vice President</div><div>Title</div><div>August 30, 2017</div><div>Date</div></div>	<div>Organization Name, Address, and Telephone</div> <div>HDR Engineering, Inc., 2379 Gateway Oaks Drive, #200 Sacramento, CA 95833 (916) 679-8860</div>
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### **Cert.9: Raul V.Bravo + Associates, Inc.**

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.



Signature of Person Certifying

Claudio R. Bravo

Printed Name

Vice President

Title

August 30, 2017

Date

**Organization Name,  
Address, and Telephone**

Raul V. Bravo + Associates, Inc.  
1889 Preston White Drive, Suite 202  
Reston, VA 20191  
703-326-9092

**Cert.9: FMG Architects**

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.

<div style="background-color: black; width: 280px; height: 50px; margin-bottom: 5px;"></div> <div>Signature of Person Certifying</div> <div><div>Charissa Frank</div><div>Printed Name</div></div> <div><div>Principal</div><div>Title</div></div> <div><div>August 30, 2017</div><div>Date</div></div>	<div style="border: 1px solid black; padding: 10px; text-align: center;"><div><b>Organization Name, Address, and Telephone</b></div><div>FMG Architects 330 15th Street Oakland, CA 94612 (510) 465-8700</div></div>
---	--

## Cert.9: Pendergast Consulting Group

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.



Signature of Person Certifying

Paul Pendergast

Printed Name

President

Title

August 30, 2017

Date

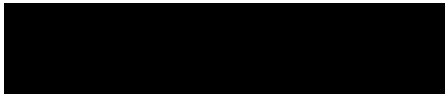
**Organization Name,  
Address, and Telephone**

Pendergast Consulting Group,  
1 Avenue of the Palms Avenue  
Suite 304  
San Francisco, CA 94130  
415-621-0600



**Cert.9: Acumen Building Enterprise, Inc.**

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.



Signature of Person Certifying

Walter E. Allen

Printed Name

President & CEO

Title

August 30, 2017

Date

**Organization Name,  
Address, and Telephone**

Acumen Building Enterprise, Inc.,  
7770 Pardee Lane, Suite 200  
Oakland, CA 94621-1490

## Cert.9: Sagent Marketing

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.



Signature of Person Certifying

Anne Staines

Printed Name

President

Title

August 30, 2017

Date

**Organization Name,  
Address, and Telephone**

Sagent  
2215 21<sup>st</sup> Street  
Sacramento, CA 95818  
916-359-8316

**Cert.9: B&G Transportation Group, LLC**

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.

<div><div></div><div>Signature of Person Certifying</div><div><div>James T. Brown</div><div>Printed Name</div></div><div><div>Principal</div><div>Title</div></div><div><div>August 30, 2017</div><div>Date</div></div></div>	<div><div>Organization Name, Address, and Telephone</div><div>B&amp;G Transportation Group, LLC, 1025 Park Place - Suite 408, San Mateo, CA 94403 650-288-5070</div></div>
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### **Cert.9: Soar Environmental Consulting, Inc.**

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.



Signature of Person Certifying

Michael J. Murphy

Printed Name

Principal/CEO

Title

August 30, 2017

Date

**Organization Name,  
Address, and Telephone**

Soar Environmental Consulting, Inc.  
1401 Fulton Street, Suite 918  
Fresno, CA 93721  
559.547.8884

**Cert.9: KL Bartlett Consulting**

In accordance with Title VI of the Civil Rights Act, as amended; 42 U.S.C. Section 2000d, the Proposer agrees that it will not discriminate against any individual because of race, color, national origin, or sex in any activities leading up to or in performance of the Agreement.

Signature of Person Certifying

Karen Bartlett

Printed Name

President

Title

August 30, 2017

Date

**Organization Name,  
Address, and Telephone**

KL Bartlett Consulting  
1229 Lakehurst Road  
Livermore, CA 94551  
(925) 597-8363

## 14 Cert. 10: Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that the following are true:

- No federal appropriated funds have been or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements), and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. section 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Executed this 8 day of August, 2017.

Company Name: DB Engineering & Consulting USA Inc.

By:

  
(Signature of Company Official)

President

(Title of Company Official)

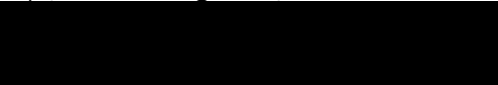
Note: If joint venture, each joint venture member shall provide the above information and sign the certification.

## 15 Cert. 11: California Civil Rights Laws Certification

Pursuant to Public Contract Code section 2010, if Proposer executes or renews a contract over \$100,000 on or after January 1, 2017, the Proposer hereby certifies compliance with the following:

1. California Civil Rights Laws: For contracts over \$100,000 executed or renewed after January 1, 2017, the Proposer certifies compliance with the Unruh Civil Rights Act (Section 51 of the Civil Code) and the Fair Employment and Housing Act (Section 12960 of the Government Code); and
2. Employer Discriminatory Policies: For contracts over \$100,000 executed or renewed after January 1, 2017, if a Contractor has an internal policy against a sovereign nation or peoples recognized by the United States government, the Proposer certifies that such policies are not used in violation of the Unruh Civil Rights Act (Section 51 of the Civil Code) or the Fair Employment and Housing Act (Section 12960 of the Government Code).

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the Proposer to the clause listed above. This certification is made under the laws of the State of California.

Title of Company Official <b>President</b>	
By (Authorized Signature) 	
Printed Name and Title of Person Signing <b>Carsten Puls, President</b>	
Date Executed <b>August 8, 2017</b>	Executed in the County and State of <b>Westchester, New York</b>





## 1 No Material Change Certification

### No Material Change Certification: DB Engineering & Consulting USA Inc.

Attention: Rachel Taylor  
Early Train Operator Procurement Manager  
**California High-Speed Rail Authority**  
Address: 770 L Street, Suite 620 MS 1  
Sacramento, CA 95814

August 9, 2017

## No Material Change Certification

Dear Ms. Taylor,

We hereby certify that there has not been a Material Change, and none are anticipated, in the financial condition, corporate form (i.e., significant mergers, acquisitions, reorganizations, etc.), market capitalization, or potential liabilities (e.g., current or pending claims or litigation) since the Statement of Qualification (SOQ) submission.



Eugene Heyward

Chief Financial Officer

DB Engineering & Consulting USA Inc.

## No Material Change Certification: Deutsche Bahn AG

Deutsche Bahn AG · Potsdamer Platz 2 · 10557 Berlin · Germany

Attention: Rachel Taylor  
Early Train Operator Procurement Manager  
**California High-Speed Rail Authority**  
Address: 770 L Street, Suite 620 MS 1  
Sacramento, CA 95814

August 16, 2017

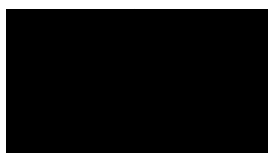
### Statement of No Material Change DB AG

Dear Ms. Taylor,

we herewith confirm, that since submission of the Statement of Qualification, there has been no Material Change, and none are anticipated, in the financial condition, corporate form, market capitalization, or potential liabilities.

Best regards,

Deutsche Bahn AG



ppa.  
Dr. Wolfgang Bohner  
Head of Finance and Treasury



ppa.  
Dirk Steinmetz  
Head of Corporate Accounting, Taxes, Insurance